DOCUMENT RESUME

ED 071 278 EM 010 420

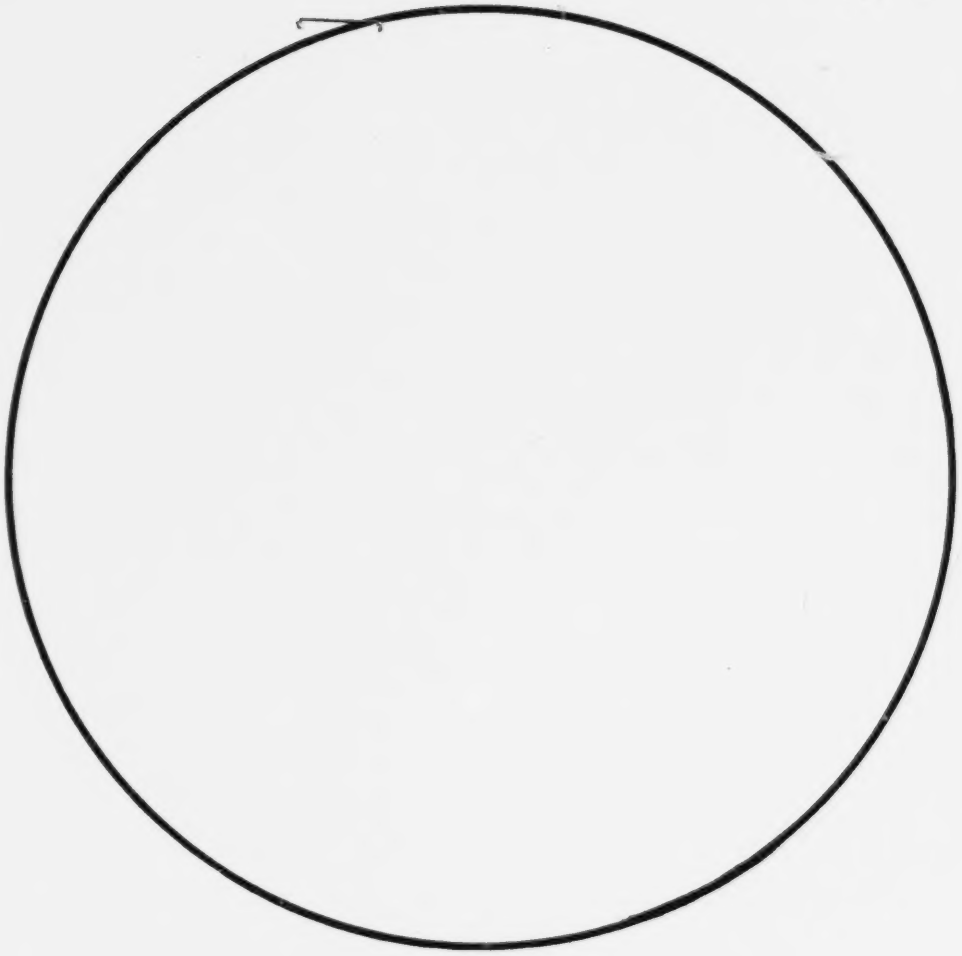
TITLE	Introduction to Psychology and Leadership. Part One; Overview of Leadership. Segments I & II, Volume I.
INSTITUTION	Naval Academy, Annapolis, Md.; Westinghouse Learning Corp., Annapolis, Md.
SPONS AGENCY	National Center for Educational Research and Development (DHEW/OE), Washington, D.C.
BUREAU NO	BR-8-0448
PUB DATE	71
CONTRACT	N00600-68-C-1525
NOTE	165p.; See also EM 010 418 and EM 010 419
EDRS PRICE	MF-$0.65 HC-$6.58
DESCRIPTORS	*Autoinstructional Aids; Communication (Thought Transfer); Individualized Curriculum; Individualized Instruction; Individual Psychology; Instructional Media; *Leadership; *Leadership Training; Military Training; Programed Instruction; *Psychology; Social Psychology; Textbooks; Workbooks

ABSTRACT

The first volume of the introduction to psychology and leadership course (see the final reports which summarize the development project, EM 010 418, EM 010 419, and EM 010 484), presents an overview which establishes the parameters of leadership which will be developed in later parts of the course. It is intended to be a self-instructional syndactic sequence in which the student retains certain options on how he proceeds through the material. Each of the twelve volumes included in the set uses different combinations of the possible instructional methods developed for the project: a linear test constructed in a series of frames with questions and answers; a syndactic text with summaries and programed sequences in which the student takes prequizzes and proceeds, or goes to a linear sequence of material; an intrinsically programed booklet which is scrambled and branched and used in conjunction with either a script or audiotape; an audiotape-panelbook with instruction delivered via an audiotaped lecture supplemented by an illustrated panel book and questions; and computer assisted instruction or an alternate script with an intrinsically programed booklet. EM 010 421 through EM 010 447, and EM 010 451 through EM 010 512 are related documents. (SH)

set #5

ED 071278



Introduction To Psychology And Leadership

EM 010 480

Volume I

Overview Of Leadership

ED 071278

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ONE

OVERVIEW OF LEADERSHIP

Segments I & II

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Volume I

WESTINGHOUSE LEARNING CORPORATION
Annapolis, Maryland
1971

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United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ONE

OVERVIEW OF LEADERSHIP

Segment I

Concept of Leadership

Syndactic Text

Single Volume

(ST/SV)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

FOREWORD

If the blind lead the blind,
both shall fall into the ditch.

Matthew XV, 14

This first lesson initiates the study of the concepts, theories, and applications of leadership. This overview establishes some of the parameters of leadership which will be developed in more detail throughout the course. It should be noted that the guidelines established here and elsewhere do not guarantee an altering of the reader's personality. Exposure to this material will not automatically produce a dynamic, self-assured and competent leader. However, the course does explain in detail what is known about leadership, and what is not known about leadership. The course also outlines those universally agreed-upon standards of integrity and behavior that are desirable for leaders. Since scientific evidence has yet to cut through the myriad complexities of successful leadership qualities, this course attempts to describe and teach what is vital to the now commonly accepted triad of leadership, namely, that effective leadership is a function of the specific personality of the leader, the situation and the group being led. As the parameters of these elements change, so does the potential for effective leadership become altered.

As this course is self instructional, using some form of programed instruction, a few words of explanation may be necessary. This first text is called "syndactic," a neologism which describes a programed sequence in which the student retains certain options on how to proceed through the material. After a brief summary, a quiz is given to determine whether it is necessary for the student to use the programed sequence to attain mastery of the material. If the student answers all questions correctly, he proceeds to the next summary. If even one question is missed on the summary quiz, the student is asked to proceed through the programed sequence to guarantee mastery of the material. Tryouts of this material under close supervision indicate that students who fail to follow the prescribed procedures do not attain the required mastery, however confident they feel.

CONCEPT OF LEADERSHIP

Summary 1

Defining Leadership

Introduction

The dynamic force we call leadership eludes precise definition and measurement. In recent years, attempts at definition and measurement have advanced parallel with the progress of the behavioral sciences. Since the modern world presents us with an insatiable demand for leaders, we need to learn and to apply what is known and accepted about leadership. This includes those concepts and frames of reference which can help a person seeking or thrust into leadership responsibility to exercise leadership with a reasonable probability of success.

Military and Nonmilitary Definitions

Leadership is defined generally as the art of influencing men to do things. Specific definitions differ depending on the particular author's frame of reference. As used in Figure 1, there is similarity in the several definitions. In substance, a dynamic performance in the form of process, activity or applied art generates a desired achievement in the form of goal, group objective or mission. Fine distinction in terms will develop in later discussions.

DEFINITIONS OF LEADERSHIP

Nonmilitary	Military
The process of influencing group activities toward goal setting and goal achievement	The art of influencing human behavior so as to accomplish a mission in the manner desired by the leader
The activity of influencing people to strive willingly for group objectives	The art of accomplishing the mission of the Navy through its people, both officers and enlisted
The interpersonal influence exercised in a situation and directed, through the communication process, toward the attainment of a specified goal or goals	The sum of the qualities of intellect, human understanding, and MORAL CHARACTER that enables a person to inspire and to control a group of people successfully
	In defining leadership, the military stresses this one important aspect--MORAL CHARACTER--which the nonmilitary does not

Figure 1. Definitions of Leadership

Leadership, Management and Command

In discussing leadership, the terms "management" and "command" arise. All three terms overlap widely in military and nonmilitary usage. To many in the armed forces, leadership and command are synonymous. In industry there is frequently little distinction between leadership and management.

In the military, management, command, and leadership are all directed toward effective mission accomplishment.

Important distinctions exist among these terms.

1) In the military, management is considered to be the science of employing men, money, material, and time in the economical and effective accomplishment of a mission. Management is a significant component of leadership, though it has a less dynamic and less spirited connotation than the term naval leadership.

2) Command is the lawful authority that a leader exerts over subordinates by virtue of his rank or assignment. Command is a position of legal authority, while leadership is an activity.

3) Leadership is a broader term than command. It includes not only authority but also the ability to influence others. For example, the individual who emerges as a leader in an emergency situation very likely has no legal authority, yet exercises leadership by influencing others.

Comparison of Military and Nonmilitary Definitions

Military leadership is similar in many respects to nonmilitary or civilian leadership. Characteristics common to both include:

1) Members of a group polarize around some central person.

2) The leader is able to direct a group toward its goal.

3) The leader possesses certain behavior characteristics (e.g., mission or goal orientation and the ability to influence others).

4) Leadership is considered as the art of influencing human behavior.

The conditions of military service and the nature of the environment in which the military leader must operate create a number of leadership characteristics usually not encountered in the nonmilitary. Albeit, the differences are largely those of degree, the differences are significant.

1) Leadership in the military is institutional in nature and appointive in fact. (Non-military leaders are usually appointed, but may be elected by the group.

2) Military leadership is oriented toward accomplishment of a mission--a mission which can often involve serious injury or death of followers. (Nonmilitary leadership is also mission-oriented, but accomplishment of the mission will seldom influence a leader to continue toward mission accomplishment when lives or safety of followers are endangered seriously.)

3) The military approach to leadership places a broader responsibility upon its leaders in moral--ethical aspects such as personal character and human relations than does the non-military approach. Military leaders are required to set a personal example of high moral standards reflecting virtue, courage, honor, patriotism, and subordination in personal behavior and performance. In addition, they are responsible to a far greater degree than their civilian counterparts for the general welfare, physical well-being, and off-job performance of subordinates.

4) The concept of leadership in the military is broader in scope than the concept of leadership in civilian management. The military leader is responsible for mission accomplishment through appropriate application (management) of resources such as personnel, money, material, and time, and through "leading" men. The civilian concept considers leadership a subset of management relating to the manager's responsibility for obtaining effective performance from his personnel.

Leaders Classified

Four methods for classifying leaders, as illustrated in Figure 2, are based upon the predominat manner in which a leader achieves leadership within informal and formal groups.

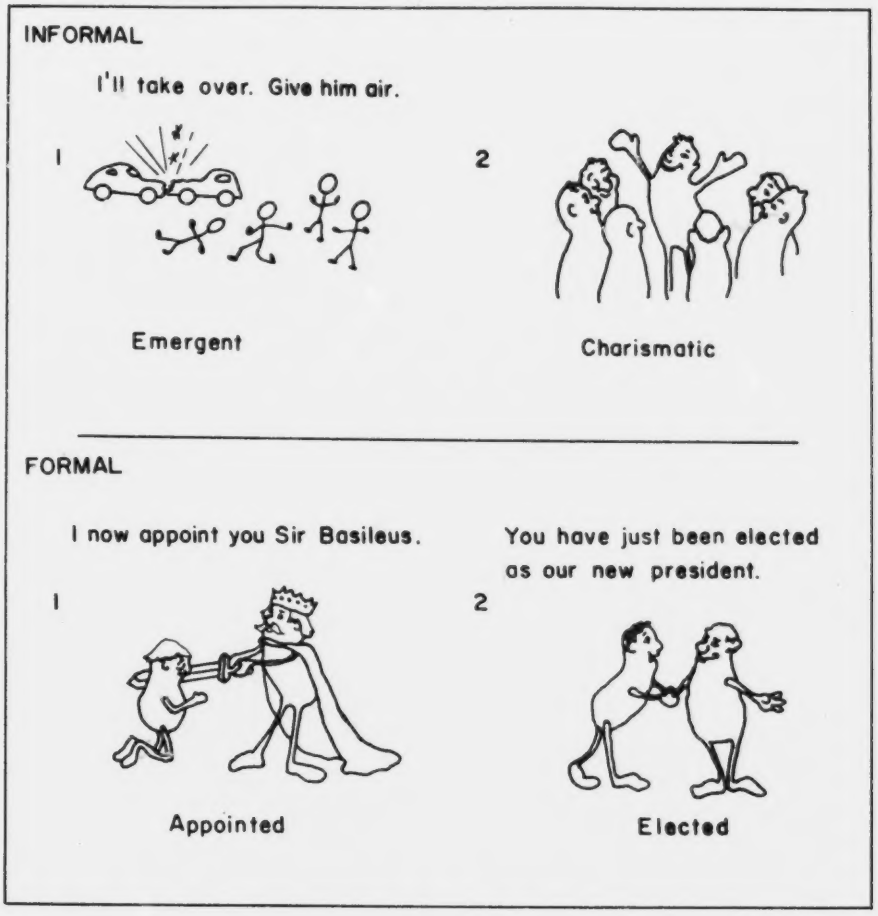

Figure 2. Classification of Leaders in Formal and Informal Groups

A leader may emerge from the informal group because his expertise or professional competence is desired, recognized, and accepted by the group. Like the emergent leader, the charismatic leader is an individual upon whom leadership is bestowed because of his intense personal magnetism or some mystical personal power--or any unique impact or influence, however undefinable, that derives from his personality rather than from any position or authority he holds. The charismatic leader is likely to have a permanence of leadership seldom achieved by the emergent leader.

Within formal groups leaders may be elected or appointed by that element which has the power to designate leaders. These more orderly processes of leader designation are necessary, since the requirements of formal groups or institutions generally persist and the procedure of waiting for the emergence of a leader is too haphazard.

Leaders can also be classified according to their closeness to the "doer" level, i.e., the level at which they exercise their leadership in relation to those being led. All leaders must interact personally with some level of subordinates. As hierarchy develops in a larger organization, the higher echelon leaders tend to become remote from and less well-known by the majority or persons at the "doer" level.

The military levels that correspond with civilian industry's top, middle and first line supervisors are:

Industry	Navy	Marine Corps
Top management	Flag officer	General officer
Middle management	Senior officer (CDR, CAPT)	Field grade officer (MAJ - COL)
	Junior officer (ENS - LCDR)	Company grade officer (2LT - CAPT)
First line supervisor	Petty officer	Noncommissioned officer

This is the end of Summary 1. Now, go to the next page and take the Quiz.

Summary Pre-Quiz 1

Defining Leadership

Answer the following questions as indicated in your Student Guide.

---

1. Which statement correctly describes similarities between military and nonmilitary concepts of leadership?

   a. Both concepts perceive the leader as mission- or goal-oriented, possessing the ability to direct a group toward its goal. Within the group there is a polarization of members around some central person.

   b. Both concepts consider the leader primarily group-oriented, as opposed to mission-oriented. There is little emphasis placed upon the leader's excelling the group members in technical or nontechnical matters.

   c. In both concepts, leadership is a generic term under which all operations of the process, both inspirational and administrative, may be found.

   d. All of the above

2. Which choice correctly matches each definition with its appropriate classification?

a. Leadership is the sum of the qualities of intellect, human understanding, and moral character that enables a person to inspire and to control a group of people successfully.

b. Leadership is the process of influencing group activities toward goal setting and goal achievement.

c. Leadership is the activity of influencing people to strive willingly for group objectives.

d. Leadership is the art of influencing human behavior so as to accomplish a mission in the manner desired by the leader.

1) Military

2) Nonmilitary

a. a-1, b-2, c-1, d-2

b. a-2, b-1, c-2, d-2

c. a-1, b-1, c-2, d-2

d. a-1, b-2, c-2, d-1

3. Which statement correctly distinguishes between leadership and command in the military?

a. Command is a technique of leadership which a leader uses to direct subordinates toward mission accomplishment. Leadership is a process that controls the use of men, money, material, and time.

b. Command is the lawful authority that a leader exerts over subordinates by virtue of his rank or assignment. Leadership is a broader term than command and includes not only authority but also the ability to influence others.

c. Command is the authority exercised by a leader by virtue of his leadership qualities. Leadership is specifically the process of directing personnel to mission accomplishment.

d. None of the above

4. Which choice below correctly matches each definition with the appropriate category?

a.	Leadership is bestowed upon an individual because of some "mystical," personal power.	1) Emergent
b.	A member rises to leadership as a result of the formal choice process.	2) Invested
c.	Leadership within a formal group wherein the leader has been granted his authority from above rather than by the members of the group.	3) Group initiated
d.	Leadership conferred upon an individual because of his expertise which is desired, recognized and accepted by the group.	4) Elected
		5) Charismatic
		6) Appointed

a. a-5, b-4, c-1, d-6

b. a-4, b-5, c-3, d-1

c. a-5, b-4, c-6, d-1

d. a-5, b-3, c-6, d-1

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 1

1. a
2. d
3. b
4. c

If all of your answers are correct, go to Summary 2 on page 41. If you missed one or more questions, go to page 13 and go through Programed Sequence 1.

Programed Sequence 1

Defining Leadership

OVERVIEW: The terms leadership, command, and management overlap in military and nonmilitary usage. For example, in the military it is common to find that little distinction is made between leadership and command. In industry, leadership and management are frequently used synonymously.

This next sequence of frames will develop definitions and concepts of military and non-military leadership. Later frames will point out the subtle similarities and differences in these concepts and also will probe the proper role of management in the leadership process. Final frames will explore two methods of leader classification.

---

1 Leadership, as defined by the military, is a broad concept. Military definitions of leadership include all of the functions employed to accomplish the mission through people. In addition, military definitions generally specify what personal qualities a leader must possess.

Which is more precise?

a. Effective employment of men, money, material and time is a significant component of leadership.

b. Leadership refers only to the qualities an individual must possess, not to the functions of mission accomplishment.

---

2 Military command is lawful authority bestowed upon an individual by virtue of his rank or assignment.

Which is correct?

a. Command guarantees good leadership.

b. Lawful authority is essential to leadership.

c. Both of the above

d. None of the above

---

3 When a leader plans a motor vehicle convoy, follows his designated routes, and arrives safely at his destination with minimum expense, he has engaged in most of the functions of the management process. Therefore, which of the following defines management better?

a. Set of theoretical principles employed by the leader which, until tested in practice, have little predictive value.

b. Science employed toward economical and effective mission accomplishment.

4 Recall that military definitions of leadership encompass all functions, activities, and leader qualities which are required to accomplish the mission. From this, what can you infer about military leadership?

a. It is defined as the art of influencing human behavior so as to accomplish a mission in the manner desired by the leader.

b. It considers management a component of leadership.

c. Both of the above

d. None of the above

---

5 Which is correct?

a. In the military, command and management are aspects of leadership. Command is a legal position of authority, whereas management is a science of applicable techniques.

b. In the military, leadership is the art of influencing people to accomplish the mission.

c. Both of the above

d. None of the above

---

6 That which is legally bestowed upon an individual by his position in a military hierarchy is called:

a. Leadership

b. Management

c. Both of the above

d. None of the above

7 What is the art of influencing human behavior called that permits accomplishment of a mission in the manner desired by the leader?

a. Command

b. Leadership

---

8 Match each definition in the first column with the appropriate term. (You will need to use one term more than once.)

a. The science of employing men and material in the economical and effective accomplishment of a mission

b. The lawful authority that a military leader exerts over subordinates by virtue of his rank or assignment

c. The art of influencing human behavior so as to accomplish a mission in the manner desired by the leader

d. Assumes certain personal qualities possessed by the leader

1) Command
2) Management
3) Leadership

9 The following are definitions of leadership. They are from nonmilitary sources.

1) Leadership is the process of influencing activities of an organized group in its efforts toward goal setting and goal achievement.

2) Leadership is the activity of influencing people to strive willingly for group objectives.

3) Leadership is interpersonal influence, exercised in a situation and directed through the communication process, toward the attainment of a specified goal or goals.

Which of these is from the definitions above?

a. . . . is the activity of influencing people to strive

b. . . . moral character that enables a person to inspire

---

10 Refer to Frame 9 (above). Which of these is true of the nonmilitary definitions of leadership?

a. Leadership is directed toward the accomplishment of goals, group objectives or mission.

b. No specific reference is made as to the moral character and responsibility of the leader.

c. Both of the above

d. None of the above

11 Assuming that an individual models his leadership on the nonmilitary definitions contained in Frame 9 (page 17), which of the following might be an example of his view of the leadership role?

a. "My job, as I see it, is to get the job done no matter what the cost in money or people. True, I'll try to convince Joe, the supervisor, to go along with my idea, but in the final analysis I'm the boss and he'll have to do it whether he likes it or not."

b. "One of my primary concerns is how my people are getting along. My responsibilities go beyond the job and into my employee's home. People are important, therefore my objectives must be modified in order to ensure that I don't have them doing things I wouldn't do."

c. Both of the above

d. None of the above

12 The following definitions of leadership are from military sources.

1) Leadership is the art of influencing human behavior so as to accomplish a mission in the manner desired by the leader.

2) Leadership is the sum of the qualities of intellect, human understanding, and moral character that enable a person to inspire and to control a group of people successfully.

3) Naval leadership is the art of accomplishing the mission of the Navy through its people, both officers and enlisted men.

Which of these phrases is from the definitions above?

a. . . .moral character that enables a person to inspire and to control

b. . . .accomplish a mission in the manner desired by the leader

c. Both of the above

d. None of the above

13 Match each phrase below with the class of definition in which it may be found.

a. ...The activity of influencing people to strive...

b. ...Moral character that enables a person to inspire.

c. ...Accomplish a mission in the manner desired by the leader.

d. ...Directed, through the communication process, toward the attainment of a specified goal or goals.

1) Military

2) Nonmilitary

---

14 Refer to Frame 12 (page 18). Assuming that an individual models his leadership on the definitions, which of the following might be an example of his view of the leadership role?

a. A taut ship is a happy ship. I apply the principles of management to maintain efficiency. Even though I have the authority of command and must comply with lawful regulations, I also must develop ability to control a group of people by considering a "human" approach to responsibilities.

b. The best leader is one who lets the men know who is in charge. In the "old" Navy, an officer let the men know he was in charge. The minute they stepped out of line he lowered the boom.

15 "Leadership is the process of influencing group activities toward goal setting and goal achievement."

To which category of leadership does the statement above refer?

a. Nonmilitary

b. Military

---

16 Which classification is typified by the phrases below?

Leadership as an art

Moral character

Toward mission accomplishment

a. Military

b. Nonmilitary

---

17 Read the definitions of leadership below and match each to its correct classification of military or nonmilitary.

a. Leadership is the activity of influencing people to strive willingly for group objectives.

b. Leadership is interpersonal influence, exercised in a situation and directed, through the communication process, toward the attainment of a specified goal or goals.

c. Leadership is the sum of the qualities of intellect, human understanding, and moral character that enables a person to inspire and to control a group of people successfully.

1) Military

2) Nonmilitary

18 Match each definition of leadership with its correct classification of military or nonmilitary.

a. Leadership is limited to the process of influencing group activities toward goal setting and goal achievement.

b. Leadership is the art of influencing human behavior so as to accomplish a mission in the manner desired by the leader.

c. The totality of leadership is the process of influencing activities of an organized group in its efforts toward goal setting and goal achievement.

1) Military

2) Nonmilitary

OVERVIEW: This sequence of frames will present the similarities and differences in the military and nonmilitary concepts of leadership. Further, they will discuss the role of management in the leadership process.

---

19 Since the leadership process in both the military and nonmilitary concepts of leadership involves the leader and the follower (group), what can you expect about the members of the group?

a. They are grouped at opposite poles with the leader caught in the middle.

b. They are polarized around some central person.

---

20 In the military and nonmilitary concepts of leadership, the leader possesses certain characteristics. One of these characteristics is the ability to influence human behavior in order to direct a group toward its goal. From this what can you infer about the leader in both concepts?

a. He is goal-oriented.

b. He is people-oriented.

---

21 The ability to influence human behavior and goal orientation are characteristics of which?

a. Military leader

b. Nonmilitary leader

c. Both of the above

d. None of the above

22 Which of these individuals would require the ability to influence human behavior and goal orientation?

a. Mr. Smith, a department store manager

b. ENS Jones, a division officer

c. Both of the above

d. None of the above

---

23 Which of the following <u>better</u> describes the similarities between the military and nonmilitary concepts of leadership?

a. The leader is able to attain his personal goals by resolving conflict among group members. The leader is goal-oriented and has the ability to influence behavior.

b. The leader is able to direct a group toward its goal through his ability to influence human behavior. The leader is goal-oriented or mission-oriented. There is an attraction of group members toward the leader.

---

24 There are differences between the military and nonmilitary concepts of leadership. Within the military organization, individuals may rise within the hierarchy only by designation of a higher authority. Nonmilitary organizations do not necessarily have this restriction.

Which statement describes this difference?

a. Military leaders are usually appointed, but may be elected at times, just as nonmilitary leaders may be elected.

b. Military leaders are not elected by the group (as nonmilitary leaders may be), but are always appointed.

25 Military leadership is oriented toward mission accomplishment, often under hazardous conditions. Nonmilitary leaders have limitations on such risk-taking activities.

Which of the statements correctly summarizes this difference?

a. Mission accomplishment in the military may involve serious injury or death of followers, but when required, the mission is still pursued.

b. A nonmilitary goal with risks similar to those in the military would likely be discontinued.

c. Both of the above

d. None of the above

---

26 From previous frames, which statement do you accept as true?

a. Civilian leaders are responsible to a greater degree than military leaders for the general welfare, physical well-being, and morale of their subordinates.

b. Military leaders are responsible to a greater degree than civilian leaders for the morale, physical well-being, and off-the-job performance of their subordinates.

---

27 Which is correct?

a. In the military, serious risks to lives and property often must be taken to accomplish the mission. In a nonmilitary situation these same risks probably would lead to abandonment of the goal.

b. Military leaders are not elected by the group (as are many nonmilitary leaders), but are always appointed.

c. Both of the above

d. None of the above

28 Nonmilitary sources frequently consider leadership to be the manager's responsibility for obtaining effective performance from his personnel. Since nonmilitary leadership is primarily concerned with productive outcome, which can you infer about the nonmilitary leader?

a. He considers leadership a tool of management.

b. He uses the term management much as the military leader uses the term leadership.

c. Both of the above

d. None of the above

---

29 Which is correct?

a. The nonmilitary concept of leadership has a much wider scope than the military concept of leadership.

b. Management is a tool of nonmilitary leadership. In the military, leadership is a tool of management.

c. Both of the above

d. None of the above

---

30 Determine which is the most probable source of the following quotation.

"The way I look at leadership, it has got to be used to get the job done. No more, no less! If you don't get the job done, you've failed your people as well as yourself."

a. A military leader

b. A civilian leader

31 Select the most appropriate description of military leadership.

a. Military leadership places a broader responsibility on its leaders than nonmilitary does. A military leader is expected to set the example for his men. Management of men, money, time, and material is only part of his job. He is also required to lead men into dangerous situations and is more responsible for their general welfare than a nonmilitary leader would be.

b. There is really very little difference between the military concept of leadership and the nonmilitary one. Both military and nonmilitary leaders have jobs to do, and must influence people and move men and material to get the job done. The one major difference is that the military leader takes risks that involve his men's lives; the nonmilitary leader does not.

---

32 Which of these correctly describes the differences between military and nonmilitary concepts of leadership?

a. In the military, leadership is wider in scope than leadership in the nonmilitary. Management is a component of military leadership. In the nonmilitary, leadership is a component of management. Leadership in the nonmilitary is mainly concerned with effective performance of personnel.

b. Civilian leaders are less responsible than military leaders for the general welfare, morale, and physical well-being of their subordinates. Military leaders must at all times set the example.

c. Both of the above

d. None of the above

33 From the following, identify the statements that specify similarities between military and nonmilitary concepts of leadership?

1) The leader is able to direct a group toward its goal.

2) The leader is mission- or goal-oriented.

3) The management function and leadership play identical roles.

4) Members of a group are attracted toward some central person (leader).

5) The military concept of command and the nonmilitary concept of leadership identify the same activities.

a. 1, 3, 4

b. 2, 4, 5

c. 1, 3, 5

d. 1, 2, 4

34 From the following, identify the statements that specify differences between military and nonmilitary concepts of leadership?

1) Military mission accomplishment frequently may involve risk of serious injury or death of followers, whereas the nonmilitary does not involve such risk often.

2) In the military, leadership is a subset of management, while leadership encompasses management in the nonmilitary.

3) Military leaders are always appointed, while nonmilitary leaders may be elected.

4) Nonmilitary leaders generally emphasize moral character less than military leaders.

5) Military leaders are more goal-oriented than nonmilitary leaders.

a. 2, 4, 5

b. 1, 3, 4

c. 1, 2, 4

d. 2, 3, 4

OVERVIEW: This sequence of frames will explore two methods of leader classification--by the way the leader attains his position and by his closeness to the "doer" level.

---

35 One way that a leader achieves his position in an informal group is by simply arising from the group, usually as a natural consequence of the group's recognition of his knowledge and his ability to satisfy its needs. How might such a leader be referred to?

a. A self-made leader

b. An emergent leader

---

36 Another manner in which a leader achieves his position in an informal group involves a personal "magic," arousing special popular loyalty or enthusiasm. This leader is called the charismatic leader. Which of these is probably true of the charismatic leader?

a. Leadership is bestowed upon the leader because of some undefinable personal magnetism.

b. Absolute power is formally conferred upon the leader by higher authority.

37 Frequently, charismatic leadership can result in an extreme and unreasoning devotion to the leader. From this, what can you infer of a charismatic leader?

a. He has a permanence of leadership seldom achieved by the emergent leader.

b. He is the most technically competent member of the group.

---

38 Which of these describes an emergent leader?

a. Fire breaks out in a theater. Before the crowd panics, an individual from the audience walks to the stage and calmly but firmly informs the audience of the conditions and instructs them how to evacuate the theater. The crowd detects the authority and logic of his presentation and files safely out of the theater.

b. A young junior officer at work on a military research and development project initiates a new method for rapidly acclimatizing the human body to different altitudes and climates in a nearly natural way. The junior officer is praised for his innovation by the supervisor of the project, who recommends that he be given a commendation.

39 Which of these better describes a charismatic leader?

a. Individual X enjoys absolute power in his domain. During his long struggle to topple the constitutional government, he lived in the hills of Oriental Province and lived off the land and the charity of the local peasants. With time, his movement gathered strength, mainly from the peasants, who considered him a savior. With help from the major opposing political powers, he was able to pull off his "coup d' etat" and assume his present position. He surrounds himself with guards, for several attempts have been made on his life, although a majority of the population supports his dictatorship.

b. Y travels the countryside lecturing to the faithful and gathering converts at every stop. Soon, word of his wisdom and sometime curative powers precedes him wherever he goes. Throngs gather in the fields to hear him. The court-appointed officials of the Sultan (in whose domain individual Y resides) are unable to ignore the will of the people. Clearly Y knows their needs. The Sultan calls upon individual Y to lead, and Y reluctantly leaves his penury to assume the robes of state.

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40 Which of these statements correctly defines a charismatic leader?

a. Leadership is bestowed upon the leader primarily because of his ability to meet the needs of the group.

b. Leadership is bestowed upon the leader because of some mystical power. This leader has a greater permanence of leadership usually than the emergent leader.

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41 There are two ways in which a leader achieves his position in a formal group. One of these is by official and legal ballot. Which describes this type of leader?

a. Emergent

b. Elected

42 Another manner of achieving a leadership position in a formal group is for an individual to be granted authority.

Which phrase describes this situation?

a. Appointed: after a given amount of time, an individual automatically rises to a leadership position.

b. Appointed: formally recognized superiors appoint subordinate leaders.

---

43 Which shows the appropriate manner in which a leader achieves his position within formal and informal groups?

a. Formal: emergent
charismatic

Informal: elected
appointed

b. Formal: elected
appointed

Informal: emergent
charismatic

---

44 Which is correct?

a. The emergent leader is one upon whom leadership has been bestowed because of some mystical personal power.

b. The elected leader is one who has been appointed to his position by his superior.

c. Both of the above

d. None of the above

45 Match the definitions with the appropriate leader category.

a. The leader is officially chosen by the group members.	1) Charismatic
b. Leadership is bestowed upon the leader because of his personal "mystical" power.	2) Elected
c. The leader is granted authority from supervisors of a formal group.	3) Group-initiated
d. Leadership informally conferred upon an individual because of his expertise of professional knowledge which is desired, recongized, and accepted by the group.	4) Emergent
	5) Appointed

---

46 All leaders deal with some particular group in a face-to-face relationship. For example, an ensign would have more direct interaction with enlisted men than would a flag officer. From this, which can you infer is another way of classifying leaders?

a. As to the level at which they exercise their leadership in relation to those being led

b. In accordance with their leadership behavior and style in dealing with subordinates

47 Which correctly describes general levels of leadership?

a. Top management
Middle management
First line supervisor

b. Flag officer
Senior officer (CDR - CAPT)
Junior officer (ENS - LCDR)
Petty officer

c. Both of the above

d. None of the above

---

48 In which way may leaders be classified?

a. According to the manner in which they achieve their position within formal and informal groups

b. As to the level at which they exercise their leadership in relation to those being led

c. Both of the above

d. None of the above

---

49 Which paragraph correctly describes the main distinctions among military command, management, and leadership?

a. Command is a leadership technique used to direct subordinates, whereas management is the function of influencing people to accomplish the mission. Leadership, which encompasses both ideas, is the art of applying practical techniques toward mission accomplishment.

b. Command is a position of lawful authority, while management is application of techniques for effective use of resources for mission accomplishment. Leadership is the art of influencing people to accomplish the mission.

50 Match each definition with the appropriate classification.

a. Leadership is the activity of influencing people to strive willingly for group objectives.

b. Leadership is interpersonal influence, exercised in a situation and directed, through the communication process, toward the attainment of a specified goal or goals.

c. Leadership is the art of influencing human behavior so as to accomplish a mission in the manner desired by the leader.

1) Military
2) Nonmilitary

---

51 Which shows the appropriate manner in which a leader achieves his position in formal and informal groups?

a. Formal: appointed
charismatic

Informal: elected
emergent

b. Formal: emergent
charismatic

Informal: appointed
elected

c. Both of the above

d. None of the above

52 Which of these correctly defines a charismatic leader?

a. Leadership is bestowed upon the leader because of some mystical personal power.

b. The leader emerges from the group because of his expertise or professional knowledge.

SUMMARY: In the preceding frames, you have learned to identify the main distinctions between the concepts of leadership, command, and management in the military. You have learned that military and nonmilitary definitions of leadership contain key phrases by which they may be identified. You have also learned to identify similarities, as well as differences between the military and nonmilitary concepts of leadership. You have learned to identify the classifications used to describe leaders in formal and informal groups.

This is the end of Programed Sequence 1. Now, go to the next page and take the Quiz.

Summary Post-Quiz 1

Defining Leadership

Answer the following questions as indicated in your Student Guide.

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1. Which statement correctly describes similarities between military and nonmilitary concepts of leadership?

   a. Both concepts consider the leader primarily group-oriented, as opposed to mission-oriented. There is little emphasis placed upon the leader's excelling the group members in technical or nontechnical matters.

   b. Both concepts perceive the leader as mission- or goal-oriented, possessing the ability to direct a group toward its goal. Within the group, there is a polarization of members around some central person.

   c. In both concepts, leadership is a generic term under which all operations of the process, both inspirational and administrative, may be found.

   d. All of the above

---

2. Which statement correctly distinguishes between leadership and command in the military?

   a. Command is a technique of leadership which a leader uses to direct subordinates toward mission accomplishment. Leadership is a process that controls the use of men, money, material, and time.

   b. Command is the authority exercised by a leader by virtue of his leadership qualities. Leadership is specifically the process of directing personnel to mission accomplishment.

   c. Command is the lawful authority that a leader exerts over subordinates by virtue of his rank or assignment. Leadership is generically a broader term than command and includes not only authority but also the ability to influence others.

   d. None of the above

3. Which choice correctly matches each definition with its appropriate classification?

a. Leadership is the sum of the qualities of intellect, human understanding, and moral character that enable a person to inspire and to control a group of people successfully.	1) Military 2) Nonmilitary
b. Leadership is the process of influencing group activities toward goal setting and goal achievement.	
c. Leadership is the activity of influencing people to strive willingly for group objectives.	
d. Leadership is the art of influencing human behavior so as to accomplish a mission in the manner desired by the leader.	

a. a-1, b-2, c-1, d-2

b. a-1, b-2, c-2, d-1

c. a-1, b-1, c-2, d-2

d. a-2, b-1, c-2, d-2

4. Which choice correctly matches each definition with the appropriate category?

a. Leadership is bestowed upon an individual because of some "mystical" personal power.	1) Emergent
b. A member rises to leadership as a result of the formal choice process.	2) Invested
c. Leadership within a formal group wherein the leader has been granted his authority from above rather than by the members of the group	3) Group initiated
d. Leadership conferred upon an individual because of his expertise which is desired, recognized and accepted by the group	4) Elected
	5) Charismatic
	6) Appointed

a. a-5, b-4, c-1, d-6

b. a-4, b-5, c-3, d-1

c. a-5, b-4, c-6, d-1

d. a-5, b-3, c-6, d-1

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 1

1. b
2. c
3. b
4. c

Now, go to Summary 2 on page 41.

Summary 2

Theoretical Approaches to the Study of Leadership

Introduction

Leadership is a process involving many variables. Most of these variables relate to three components: the leader, the group, and the situation. Each of these factors may be used as a basis for an approach to the dynamic system formed by interaction of these variables and the study of leadership.

Leader-Oriented Theories

The study of leadership traditionally concentrated upon the leader himself. The so-called "Great Man" concept is shared by all leader-oriented theorists. They maintain that leadership is some quality or characteristic residing in the personality of the leader.[1*] The "Great Man" Concept has proved to be of limited value in the selection and development of leaders, however, since it is so difficult to identify just which quality or characteristic makes a good leader. The two other leader-oriented theories of leadership to be discussed here are the Heredity and the Trait Theories.

*Summary 2 references are listed on page 52.

Heredity theorists maintain that leaders are born, not made. However, the fact that often leaders emerge from families having no leaders in them provides indisputable proof that other factors besides heredity have significant influence in the development of leaders. If leadership were hereditary, the problem would be one of selecting, rather than developing, leaders, and this is clearly not the case. One valid conclusion we may make about the heredity theory is that "as is true in all aspects of human behavior, heredity probably does play a partial role in leadership. Nevertheless, empirical research has shown that experience, learning, and environmental factors are of considerably greater importance in leadership development."[2]

The Trait Theory postulates that leaders possess certain traits or personality characteristics that differentiate them from followers. The research yield from this approach, however, has been meager and confused.[3] As yet there has been insufficient evidence to confirm or deny that there is any single trait common to leaders or any trait pattern exclusive to the leader personality. Some trends are observable. Choice of leaders appears to tend toward the more intelligent members--but also toward the tall, the big, the dominant, the aggressive, the masculine and the visible.[4] However, in the factor of intelligence there is apparently a limit; intelligence far superior to that of followers impairs leader effectiveness.

Although at the present stage of development in the behavioral sciences we cannot fully describe leaders in terms of traits, the study of traits does facilitate analysis of discussion about the leader personality (e.g., leadership aptitude ratings and officer fitness reports). And although it cannot be proved that certain traits are common to leaders, there are identifiable traits essential to leaders in certain situations. The leaders of an athletic team--team coaches and field captains--surely must have noteworthy athletic prowess and experience; leaders of business enterprises and scientific endeavors (to name but a few fields) require considerable intelligence in order to retain leadership. These examples "raise the possibility that leadership traits may not be those that differentiate the leader from the follower, but rather may be those that are shared by the followers...the leader may be the individual who has the most ideal combination of characteristics required of all members of the group."[5]

Although it is not known what constitutes a "leadership personality," the traits required of a leader fall into two broad categories:

1) Social and moral orientation, such as maturity and integrity, which assist the leader in establishing proper relationships with his followers

2) Capacity, such as intelligence and judgment, to deal with problems and tasks confronting the group

Limitations of Leader-Oriented Theories

The "Great Man" approach, which holds that some persons tend to be leaders regardless of situation or group, appears to be inadequate because the studies supporting the leader tendency of some persons showed as well that the nature of the group and the situation also determined which men were leaders.[6] Besides all the collective weight of behavioral research findings that all our traits, features, and characteristics are a function of the interaction of heredity and environment,[7] the Heredity Theory is shaky simply by virtue of the great number of successful leaders who have come forth from the widest variety of human genetic backgrounds. Notwithstanding the frequent appearance of intelligence as a factor, the Trait Theory as researched in several hundred studies as yet is without evidence of a single trait or trait pattern that consistently differentiates leaders from followers.[8] The poor correlations of traits to leadership indicate that if one seeks to be a leader it may be best to acquire incontestable experience and seniority, to acquire specific ability and knowledge directly related to the job, or to control a majority of the company stock. Furthermore, becoming a leader involves, to a considerable extent, such sociological, economic or political factors as age, financial status, personal contacts, being at the right place at the right time and happenstance.[9]

Conclusions to be Drawn from Considering Leader-Oriented Theories

Conclusions relative to the leader-oriented approach raise the possibility that leadership traits may not be those that differentiate the leader from the follower, but rather may be those that are shared by the follower. In other words, the leader may be the individual who has the most ideal combination of characteristics required of all members of his group. Substantiation of this idea is evident in election of team captains among players of large athletic squads, and further evidenced in formal study of naval personnel on Antarctic duty.[10] One critical factor that distinguishes leader from follower, however, has been the leader's strong motivation to belong to the group, and this is certainly not a trait.

The Group Theory

The second major approach to leadership theory focuses on factors external to the leader and the mission. This approach examines leadership as follower-oriented or as a function of group dynamics.

Since the leader must continually interact with the followers, there is an established complex social dynamic, involving the leader and the followers (vertical relationships) and interactions among the followers (lateral relationships).

1) Characteristics of Vertical Relationships (leader to follower)

a) The personality of the leader is subordinate to the dynamics of the interaction. Complex social interaction becomes a factor external to the leader himself, but vital to an understanding of the leadership setting. Traits of a leader make little difference as long as the followers have faith in him.

b) Members of a group perceive the leader as the one who can best provide for their individual needs and can guide them toward group goals, and hence they confer the leadership on him. In military situations, the leader is particularly important in satisfying certain needs of unit members--for example, training and opportunity for promotion together with assignment to positions of responsibility (status); eligibility for and assurance of receipt of pay, quarters, and subsistence of the member and dependents (security); recognition of performance and protection of member rights (maintenance of human dignity). Where these needs are not met, the members will transfer allegiance to a leader who may better satisfy such needs while maintaining the appearance of subordination to the formal leader.

2) Characteristics of Lateral Relationships (peer to peer)

a) A dynamic interaction of individual purposes, attitudes, prejudices and emotions takes place among the members in any group; (e.g., four plebe roommates have widely divergent backgrounds and consequent differing approaches to the Academy, to the Navy and/or to morality in general.)

b) This interaction becomes a binding force for group members.

c) Under combat stress, this lateral relationship is particularly essential, so that members know, take care of and draw strength from each other. Throughout military and naval history the elan, esprit, confidence, and effectiveness of units of high cohesiveness have produced successful results far beyond expectation.

> The certain dependability of the adjacent company, the next river assault boat gunner, a fighter wingman, the supporting artillery battalion and the like for cover, protection, or firepower is a priceless asset. Similarly, without such faith, the effectiveness of individuals and units is sorely reduced.

The military recognizes the factor of human interaction and emphasizes human relations. Human relations are predicated on an appreciation of human dignity and promotion of individual initiative. It emphasizes that leadership is most effective when all members of the group identify with the group's goals, and their higher order social needs are satisfied through goal attainment.

Conclusions to be Drawn from Considering Group Theory

Conclusions relative to the group-oriented or follower-oriented theory are:

1) Group loyalty is extremely important to individual and unit effectiveness; (e.g., the midshipman who is loyal to his company strives harder at intramural competition and the teams are more effective.)

2) If a formal leader fails to satisfy followers' needs, he may be replaced in the eyes of the followers by an informal leader who does satisfy those needs; (e.g., the plebe who needs encouragement and assistance in acclimating to life as a midshipman may seek help from a classmate across the hall instead of from his squad leader.)

3) The appointed military leader must accomplish externally assigned missions. If he has permitted an informal leader to formulate goals more closely related to individual desires, this may bring the leader into direct conflict with the group, resulting in lowering morale, esprit, teamwork, and motivation.

4) Implications of the Group Theory applicable to the military leader

Recognizing beneficial effects generated from vertical and lateral interactions, the military has requested and stressed the human relations aspect of leadership:

a) Human relations, appreciating personal dignity and promoting individual initiative, is both a philosophy and a style by which a leader may deal with subordinates.

b) Human relations emphasizes that leadership is most effective when all members of the group identify with the group goals and their higher order social needs are satisfied through the attainment of those goals.

c) The leader can use this approach as a means to integrate the group into an effective, cooperative team to accomplish the group mission and to satisfy needs of group members.

d) The personalities, size, structure, and composition of a military unit influence group character and require varied human relations techniques of the leader; (e.g., a squad leader cannot use the same technique in dealing with each of the plebes in his squad when one is from the fleet, one has several years of college background, one is a public high school graduate and one is a naval-oriented prep school grad.)

e) The human relations approach should never be so follower-oriented as to impair proficiency in unit and mission accomplishment.

f) Leader activity must be sincere and perceived as such by the followers. If human relations techniques are viewed as tools for manipulating the followers or are interpreted as such by followers, the technique may well backfire irreparably.

Situation Theory

Permeating the study of leadership is an awareness that myriad factors come to bear upon both the leader-oriented and follower-oriented concepts. Also, leadership requires further qualification in that the term implies good leadership. At once, the ramifications of successful leadership (as a means) and effective leadership (goal achievement) arise. It is a fact that a group with low morale, little satisfaction accruing to its members and questionable leader ability can perform a mission well. And it is a fact that a highly motivated, cohesive group under able leaders can fail. The key, of course, is that the latter consistently should have the higher probability of mission achievement. Regardless of most criteria, a group owes its existence to tasks it is supposed to perform. One which continually fails to complete such tasks well will fall apart or will face reforming to a considerable degree.[12]

Situational factors, external to the leader and the group, influence the leader's decisions and actions. Different situations contrive different pressures and stresses requiring adaptive leadership techniques. Leading a division on a combat ship in drydock at home yard may vary notably in procedure from that in leading the same division in operations off a hostile shore. Different environments and different follower-groups may call for variations in leadership techniques. For example, a successful Marine engineer company commander might not make either a good rifle company commander, or a top-notch engineer battalion commander.

Military leadership perhaps is more situational than other modes in the nonmilitary sphere. Along with greater responsibilities for personal and moral welfare of subordinates the military leader has to function in ever changing circumstances--unit structure, equipment, expertise, mission, weather, operations, casualties, replacements, training, retraining, and material resources, to name but a few.

The major drawback to the Situation Theory is that, in a strict sense, if leadership were purely situational, a leader in one situation could not lead in another. This we are aware is generally not true--vast numbers of military officers excel across a wide spectrum of assignments, levels and situations. Civilians as well have performed exceptionally in various government, business, education, and military capabilities.

The Situation Theory does provide insight to new requirements upon the leader. The leader must be alert to changes brought upon a group by the nature of the situation. Many variables can be structured and controlled by prior sound leadership techniques; however, the leader must be ready to adapt his approach as necessary according to the changing situation. Both in military and nonmilitary situations, as stresses mount, the leader's decisions and actions become more authoritarian and become more favorably received by the group.

Conclusions from the Theoretical Approaches

Each of the approaches contributes to an understanding of the leadership process, but the approaches are not mutually exclusive--they can be practiced concurrently. Leadership may be viewed as an integrated concept, a dynamic interaction process involving a leader, his followers, and the environmental situation. These theoretical approaches then serve as a coordinating framework to assist in analyzing the leadership process, in solving specific leadership problems, and in developing leadership skills.

This is the end of Summary 2. Now, go to page 53 and take the Quiz.

Summary 2 References

1. Hays, COL Samuel H., and Thomas, LTC William N., Taking Command (Harrisburg, Stackpole, 1967), pp. 20-21.

2. Hays and Thomas, op. cit., p. 20.
   Study by Bavelas (1942) cited in Ruch, Psychology and Life (7th ed.) p. 571.

3. Hollander and Julian, "Contemporary Trends in the Analysis of Leadership Processes, "Psychological Bulletin, XVII (1969), 387.
   Mann, "A Review of the Relationship Between Personality and Performance in Small Group," Psychological Bulletin, LVI (1959), 241-270.
   Stogdill, "Personal Factors Associated with Leadership: A Survey of the Literature," Journal of Psychology, XXV (1948), 35-71.

4. Fiedler, F.E., A Theory of Leadership Effectivensss (McGraw-Hill, 1967), p. 10.

5. Hays and Thomas, op. cit., p. 22.

6. Borg and Tupes, "Personality Characteristics Related to Leadership Behavior in Two Types of Small Group Situation Problems," Journal of Applied Psychology, XLII (1958), 252-6.

7. Sartain, North, Strange, and Chapman, Psychology - Understanding Human Behavior (McGraw-Hill, 1962), p. 48.

8. Fiedler, op. cit., p. 10.

9. Ibid., pp. 10-11.

10. Hollander and Julian, op. cit., p. 392 (relative to 1964 report by Nelson).

11. Hays and Thomas, op. cit., p. 23.

12. Fiedler, op. cit., pp. 9-11.

Summary Pre-Quiz 2

Theoretical Approaches to the Study of Leadership

Answer the following questions with the single best selection as indicated in your Student Guide.

---

1. Which of the following correctly describes conclusions that relate to Leader-Oriented Theory?

   a. There is conclusive evidence that traits can be identified which differentiate leaders from followers. The leader has characteristics which make him superior to his followers. All followers have some characteristics similar to those of the leader; however, they are not as fully developed as those of the leader.

   b. The possibility exists that leadership traits may not differentiate the leader from the followers, but are rather those that are shared by the followers. The leader may be the individual who has the most ideal combination of characteristics required of all members of his group.

   c. Traits have very little effect on determining who the leader will be. Usually, within any given group the traits of the individuals are so similar that the leader's traits cannot be considered peculiar to the person who exerts his influence over the group.

   d. Leadership is hereditary. There is evidence that most great leaders are born of other great leaders, and traits are passed down from father to son.

2. Which of the following correctly describes conclusions that relate to the Group Theory?

a. If the formal leader fails to satisfy his followers' needs, his positive, persuasive power or influence may be replaced by that of an informal leader.

b. Should the formal leader fail to satisfy his followers' needs, he runs no risk of being replaced as a positive power so long as he accomplishes the mission.

c. If the leader knows the group's needs, he will automatically satisfy them as he strives toward mission accomplishment.

d. Group needs should not be a problem for the leader as long as he "follows the book" in trying to accomplish the mission.

---

3. Which of the following correctly describes conclusions that relate to the Situation Theory?

a. Situation has little effect on leadership, since in any situation the general approach of the leader is the same.

b. A leader must recognize the effect of the situation on his group and consider adapting his approach as necessary.

c. Fundamentally it is the situation which creates the leader and permits the person in the best position with the most ideal characteristics to function with considerable latitude.

d. Leadership is an amorphous leader-group integrated concept.

4. Match the following key phrases with the most closely associated leadership theory:

a. Environmental pressures	1) Group-Oriented
b. Leaders differ from followers	2) "Great Man"
c. Vertical relationships	3) Situation
d. Leaders are not made	4) Trait
e. Tend to be leaders regardless	5) Heredity
f. Lateral relationships	
g. Human relations	
h. Flexibility of approach	

---

5. Which of the following correctly identifies the three theoretical approaches to leadership?

a. Situation, Great Man, Group

b. Leader-Oriented, Situation, Group

c. Group, Leader-Oriented, Trait

d. Leader-Oriented, Trait, Situation

Now, check your answers on the next page.

ANSWERS TO SUMMARY PRE-QUIZ 2

1. b
2. a
3. b
4. a-3, b-4, c-1, d-5, e-2, f-1, g-1, h-3
5. b

If all your answers are correct, go to Summary 3 on page 83. If you missed one or more questions, go to the next page and go through Programed Sequence 2.

Programed Sequence 2

Theoretical Approaches to the Study of Leadership

Leader-Oriented Approach

There are three basic theories which make up the leader-oriented approach to the study of leadership. In the next sequence of frames, you will find the concepts on which the theories are based, the limitations of the theories, and the conclusions to which study of the theories has led. (Throughout the programed sequence, the correct answer may be one or more of the lettered choices, or "both", or "none" in applicable questions. Refer to Summary 2 during this programed sequence.

1 Which of these identifies the theories into which the leader-oriented approach is divided?

a. Great Man Theory, Quantity Theory, Trait Theory

b. Heredity Theory, Postulate Theory, Trait Theory

c. Heredity Theory, Great Trait Theory, Genetic Theory

d. Great Man Theory, Trait Theory, Heredity Theory

2 One of the basic concepts of all Leader-Oriented Theories is that leadership is some quality residing in the personality of the leader.

Which is true of the Great Man Theory?

a. Leadership is an acquired skill.

b. Leadership is easily identifiable.

c. Both of the above

d. None of the above

3 Which of the following best states the "Great Man" concept?

a. If leadership were hereditary, the problem would be one of selecting rather than developing leaders.

b. Since there have been so few great leaders, there has not been enough opportunity to do a valid study.

c. Research has shown that experience, learning, and environmental factors are of greater importance in leadership development than heredity.

d. Leadership often emerges from the masses; therefore it appears that leadership can be developed.

e. Certain persons tend to be leaders in any situation.

---

4 Reread page 44, then answer this question. Which of the following statements identify limitations of the "Great Man" concept?

a. If leadership were hereditary, the problem would be one of selecting rather than developing leaders.

b. Since there have been so few great leaders, there has not been enough opportunity to do a valid study.

c. Research has tended to partially confirm the Great Man Theory but has also shown that the nature of the group and the situation played a part on leadership determination.

d. Leadership often emerges from the masses; therefore it appears that leadership can be developed.

e. It has proved difficult to identify the leadership qualities or characteristics residing in the personality of the leader.

5 Some leader-oriented theorists maintain that leadership is hereditary. From this, what can you infer as a tenet of the Heredity Theory?

a. Leaders are born, not made.

b. A leader's position is passed down from father to son.

c. Both of the above

d. None of the above

---

6 Research in very recent years is suggesting factors which are important to development of a leader. Considering your own observation and experience, and historical information about leaders and leadership, what would you expect the research to show?

a. That experience, learning and environmental factors are of greater importance in leadership development than heredity.

b. That leadership cannot be developed, but can be achieved only through inheritance or situational happenstance.

7 If leadership were hereditary, which would be true?

a. We would need only to select rather than to develop leaders.

b. Leadership ability would be passed on from father to son.

c. Both of the above

d. None of the above

---

8 Trait theorists hold that leadership is some "quality" or "trait" residing in the personality of the leader.

Which is another term for "quality" or "trait"?

a. Heredity

b. Characteristic

---

9 A basic concept of the trait theorists is that personality may be discussed in terms of traits.

Choose the view(s) that a trait theorist might hold.

a. Characteristics such as intelligence can be used to identify the personality of an individual.

b. The leader is possessed of certain traits which separate him from followers.

c. Both of the above

d. None of the above

10 Which of these statements might a trait theorist make regarding leadership?

a. Show me a son from a strong father and mother and I'll show you a leader.

b. Tell me about a man's personality characteristics, what his style is, and I'll be able to tell you whether he's a leader.

---

11 According to the Trait Theory, an important trait for the captain of an athletic team to possess would be physical prowess; whereas, for a scientific leader the trait of higher intelligence level would be of great importance for maximum leader effectiveness. From this, what can you infer according to the Trait Theory?

a. Certain traits are required of leaders of certain groups or in certain situations that may not be required of other leaders.

b. A man has many different highly developed traits in order to account for all of the groups and situations he will encounter.

---

12 Which of these correctly summarizes the basic concepts of the Trait Theory?

a. Leadership is genetically determined and is therefore consistent in family lineage. It is a quality that resides in the personality of the leader.

b. There are so many situations and group characteristics that it is impossible to identify leadership traits.

c. Both of the above

d. None of the above

13 Trait theorists, like the Great Man and Heredity theorists, have difficulty attempting to scientifically identify and measure leadership behavior.

What can you infer of trait theorists?

a. They are unable to identify specific leadership traits.

b. They cannot measure traits in isolation.

c. Both of the above

d. None of the above

---

14 One limitation of the Trait Theory is that there is no evidence that there is one single trait which consistently differentiates leaders from followers. From this, which is another limitation to be inferred?

a. There are few identifiable traits or trait patterns among known leaders and even these are not consistent.

b. Leaders can be compared to other leaders, but leaders cannot be compared to followers.

15 Which four of these statements correctly identify limitations of the Trait Theory?

a. Few consistent trait patterns

b. Traits are unknowns, therefore they cannot be discussed.

c. Inability to measure traits in isolation

d. No single trait consistently differentiates leaders from followers.

e. Followers and leaders so closely resemble each other that one cannot distinguish one from the other by their traits.

f. Inability to identify specific leadership traits

---

16 Match the following.

a. Leader tends to be more intelligent than the follower.

b. Few consistent trait patterns

c. Certain traits are required by leaders of certain groups or in certain situations.

1) Basic concept of the Trait Theory

2) Limitation of the Trait Theory

17 Match the following. (Be sure to use all of the numbered items.)

a. Basic concept of the Trait Theory	1) Inability to identify specific leadership traits
b. Limitation of the Trait Theory	2) Traits provide means for communicating about personality.
	3) Leadership is some quality residing in the personality of the leader.
	4) Inability to measure traits in isolation
	5) No single trait consistently differentiates leaders from followers.

---

18 Which of the following statements is true concerning the conclusions reached as a result of studies of the Leader-Oriented Theories?

a. The Leader-Oriented Theories raise the possibility that leadership traits may not be those that differentiate the leader from the follower, but rather those that are shared by the followers.

b. The leader may be the individual who has the most ideal combination of characteristics required by all members of his group.

c. Both of the above

d. None of the above

Group-Oriented Approach

This sequence of frames presents the basic concepts of the Group Theory of leadership, and the conclusions that have been reached based on the study of Group Theory.

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19 Which of the following are the two types of interactions dealt with in Group Theory?

a. Vertical Relationships and Lateral Relationships

b. Leader to Follower and Peer to Peer Relationships

c. Both of the above

d. None of the above

---

20 On which of these would the Group Theory lay more stress?

a. The personality of the leader

b. The quality of the interaction between the leader and the group

21 Based upon Group Theory Vertical Relationships, which leader would be more successful?

a. ENS Ashburn maintains iron discipline and receives instant obedience from his men. He is, nevertheless, alert to their welfare.

b. ENS Krash is aloof from his men and avoids their personal problems, which are many and frequent. He was, however, in 1968, an All-American football player.

---

22 Which choice correctly identifies the Vertical Relationships of the Group Theory?

a. Personality traits of a leader make little difference as long as the followers have faith in him.

b. The group supports the leader who can best provide for their individual needs and guide them toward group goals.

c. Both of the above

d. None of the above

---

23 Regarding Group Theory Lateral Relationships, what holds a group together?

a. The interaction among group members

b. The interaction of members with the leader

24 Select the two statements which express factors pertaining to Group Theory Lateral Relationships.

a. The interaction among group members becomes a binding force.

b. The leader draws strength from the group.

c. The leader is in control of lateral relationships.

d. Under combat stress the lateral relationship is particularly essential.

---

25 Match the following relationships with the appropriate form of interaction. (Be sure to use all the numbered items.)

a. Vertical Relationship

b. Lateral Relationship

1) The group perceives the leader as the one who can best provide for their individual needs and guide them toward group goals.

2) The dynamic interaction between peers becomes a binding force for group members.

3) There exists a complex social interaction between leader and followers.

4) Personality traits of a leader make little difference as long as the followers have faith in the leader.

5) Under combat stress, group member relationships are particularly essential.

26 Group Theory researchers have reached certain conclusions. Which of these is a conclusion drawn by the researchers?

a. As long as the leader is meeting the needs of the group in the long run, it is unlikely that an informal leader will arise.

b. An informal leader will arise whenever there is a "natural" leader in the group who feels powerless.

---

27 It is often difficult, particularly in times of stress, for a leader to meet the needs of the group. But the leader should always be aware of this fact, for as soon as he neglects these needs, an informal leader may arise. LT Pflapp has been serving as the executive officer of a tank company. One of his responsibilities is the motor pool. The pressure of his administrative duties has made him lose sight of the needs of his men and curtailed his visits to the motor pool. When an Inspector General inspection is suddenly scheduled, LT Pflapp finally comes down to "straighten out" the motor pool.

In this situation which is likely?

a. The men will eagerly carry out the order so as to make LT Pflapp look good because they believe that if they support him he will support them.

b. The mission will be carried out but with considerable distaste and grumbling.

28 Morale, esprit, teamwork, and motivation play an important part in the accomplishment of a mission.

According to Group Theory, what might the appointed leader expect, if he allowed an informal leader to formulate goals which were more closely related to individual desires of group members?

a. The morale, esprit, teamwork, and motivation of the group may not be directed toward the accomplishment of the mission.

b. The appointed leader may be brought into direct conflict with the group.

c. Both of the above

d. None of the above

---

29 A midshipman company commander knows the company officer will conduct a formal room inspection on Saturday morning. He is aware that the rooms will need considerable effort and attention from all hands on Friday and that liberty for his classmates and study hours for the underclassmen will conflict with accomplishing preparation for the inspection.

Which of the following principles should guide the company commander in his course of action?

a. The military leader has two basic responsibilities--accomplishment of the mission and welfare of his men. In the event of conflict between these responsibilities, the mission takes priority.

b. The military leader's ultimate responsibility is to his men. The welfare of his men should, when possible, take precedence over accomplishment of the mission.

30 Select the three valid conclusions concerning the Group Theory.

a. Strength of leadership is independent of the degree to which the members of the group identify with group goals.

b. In the leader-follower situation, if the formal leader fails to satisfy the follower's needs, he may be replaced, in the eyes of his followers, as the one to whom they look for satisfaction of their needs, by an informal leader who can satisfy their needs.

c. Group loyalty will affect group strength.

d. The leader may come into conflict with his group if he has permitted an informal leader to formulate goals more closely related to group members' desires.

e. In a strong group, members will always be loyal to their formal leaders.

f. Leadership must encompass sound management techniques.

The Situation Theory Consists of Four Concepts

A) Situational factors external to the leader and his group influence his decisions and actions.

B) Leadership procedures may differ greatly from one situation to another.

C) Leadership demands vary between assignments and between levels of command.

D) Military leadership compared to other forms of leadership may be considered situational.

A study of the basic concepts of the Situation Theory has led to the conclusion

A) Leaders must recognize effect of situation on their group and adapt their leadership approach to the demands of the situation.

A study of the basic concepts and conclusion reveals one limitation

A) If leadership were purely situational, a leader in one situation probably could not lead in another.

Figure 3

Situation Theory

In this sequence of frames you will review the basic concepts, a limitation and the conclusion reached concerning the Situation Theory. You may refer to Figure 3, page 71, while working frames 31 to 42.

---

31 Leader-oriented theorists assume that leadership derives from the traits present in the personality of the leader. Group theorists hold that the interaction of the group is the most important factor in determining leadership. Situation theorists do not follow either of those theories.

Which might you assume that situation theorists believe?

a. Factors external to the leader and his group influence his decisions and actions.

b. A leader's decisions and actions are influenced by the follower's perception of his personality.

---

32 LT Jones is platoon leader of a reconnaissance platoon. His men consistently get the job done and voice no complaints about the authoritative demands of their leader. The men are disciplined and all orders are executed to the letter. LT Jones and this same group of men are pulled out of the combat area, and it is not long before his commanding officer realizes that LT Jones' crisp orders are only partially being carried out. Further, the men are sour and quite dissatisfied.

Of the following, which might you infer from this example?

a. Only certain leaders can lead one group in any kind of situation.

b. Leadership style may have to be adjusted from one situation to another.

---

33 MIDN Harwick was assigned as a squad leader in the first set of stripers. His performance as a squad leader was outstanding and the squad performed well during his tenure. For the second set, Harwick was assigned as platoon leader. His performance as a platoon leader was not exemplary and the platoon was often deficient in performance of duties.

Which of the following might be inferred from the above example?

a. An individual's ability to lead will vary according to assignments and levels of command.

b. Responsibilities and duties of different leadership assignments may affect a leader's behavior.

c. Both of the above

d. None of the above

34 Which of these is correct about the basic concepts of the Situation Theory of leadership?

a. Once someone becomes a leader he is always a leader.

b. Leadership cannot be identified or measured because there are too many different groups and situations.

c. Both of the above

d. None of the above

---

35 A leader has to be more authoritarian and demanding when making decisions and giving orders in a combat situation than he does in a non-combat situation. Which is a likely conclusion inferred about the Situation Theory from that statement?

a. A leader must recognize the effect of the situation on his group and adapt his leadership approach to the demands of the situation.

b. Leadership is the acquisition of a number of skills. If these skills are consistently used, a leader will be successful.

---

36 If leadership were purely situational which would be true?

a. A leader in one situation likely could not lead in another.

b. Most leaders would be specialists performing effectively in the area they know best.

c. Both of the above

d. None of the above

37 Match the items from the right column to the left column items, where appropriate.

a. Limitation of the Situation Theory

b. Basic concept of the Situation Theory

c. Conclusion relevant to the Situation Theory

1) Situational factors external to the leader and his group influence his decisions and actions.

2) Military leadership, compared to other forms of leadership, is more affected by a varied operational environment.

3) If leadership were purely situational, a leader in one situation probably could not lead in another.

4) Leaders must recognize the effect of the situation on their group and adapt their leadership approach to the demands of the situation.

5) Leadership demands vary according to levels of command.

38 The concepts of the three theories of leadership are not mutually exclusive. What might you infer of leadership?

a. It can be based on a selective integration of conclusions drawn from the three major theoretical approaches.

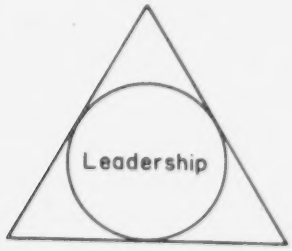
b. It is a dynamic process involving a leader, his followers, and an environmental situation.

c. Both of the above

d. None of the above

39

LEADER-ORIENTED THEORY



GROUP THEORY SITUATION THEORY

The diagram above illustrates the relationship of the three leadership theories. What might you conclude is the point of studying the three leadership theories?

a. It serves as a coordinating framework to assist in analyzing the leadership process.

b. It helps solve specific leadership problems and helps develop leadership skills.

c. Both of the above

d. None of the above

40 Match the following. (Use all of the numbered items.)

a. Group Theory

b. Leader-Oriented Theory

c. Situation Theory

1) Leadership is some quality residing in the personality of the leader.

2) The leader is perceived as the source of need satisfaction.

3) Leadership demands vary between assignments and between levels of command.

4) A dynamic interaction of individual purposes, attitudes, prejudices, and emotions takes place among followers in the group.

5) Leadership is hereditary--leaders are born, not made.

6) Factors external to the leader and his group influence his decisions and actions.

---

41 Which of these correctly describes a conclusion relative to the Situation Theory?

a. Situational factors external to the leader and his group do not influence his decisions and actions if he possesses expert leadership skills.

b. The leader must recognize the effect of the situation on his group and adapt his leadership approach to the demands of the situation.

42 Which of these identifies the three theoretical approaches to the study of leadership?

a. Leader-Oriented, Trait, Situation

b. Situation, Great Man, Group

c. Leader-Oriented, Situation, Group

d. Group, Leader-Oriented, Trait

This is the end of Programed Sequence 2. Now, go to the next page and take the Quiz.

Summary Post-Quiz 2

Theoretical Approaches to the Study of Leadership

Answer the following questions with the single best selection as indicated in your Student Guide.

1. Which of the following correctly describes conclusions that relate to Leader-Oriented theory?

   a. There is conclusive evidence that traits can be identified which differentiate leaders from followers. The leader has characteristics which make him superior to his followers. All followers have some characteristics similar to those of the leader; however, they are not as fully developed as those of the leader.

   b. Leadership is hereditary. There is evidence that most great leaders are born of other great leaders, and traits are passed down from father to son.

   c. Traits have very little effect on determining who the leader will be. Usually, within any given group the traits of the individuals are so similar that the leader's traits cannot be isolated from followers' traits. The leader will be the person who exerts his influence over the group.

   d. The possibility exists that leadership traits may not differentiate the leader from the followers, but rather are shared by the followers. The leader may be the individual who has the most ideal combination of characteristics required of all members of his group.

2. Which of the following correctly describes conclusions that relate to the Group Theory?

a. If the leader knows the group's needs, he will automatically satisfy them as he strives toward mission accomplishment.

b. Group needs should not be a problem for the leader as long as he "follows the book" in trying to accomplish the mission.

c. Should the formal leader fail to satisfy his followers' needs, he runs no risk of being replaced as a positive power as long as he accomplishes the mission.

d. If the formal leader fails to satisfy followers' needs, his positive persuasive power or influence may be replaced by that of an informal leader.

---

3. Which of the following correctly describes conclusions that relate to the Situation Theory?

a. A leader must recognize the effect of the situation on his group and consider adapting his approach as necessary.

b. Fundamentally it is the situation which creates leaders and permits the person in the best position with the most ideal characteristics to function with considerable latitude.

c. Situation has little effect on leadership, since in any situation the general approach of the leader is the same.

d. Leadership is an amorphous leader-group integrated concept.

4. Match the following key phrases with the most closely associated leadership theory.

a. Environmental pressures	1) Situation
b. Leaders differ from followers	2) Trait
c. Vertical relationships	3) Heredity
d. Leaders are not made	4) "Great Man"
e. Tend to be leaders regardless	5) Group-Oriented
f. Lateral relationships	
g. Human relations	
h. Flexibility of approach	

---

5. Which of the following correctly identifies the three theoretical approaches to leadership?

a. Leader-Oriented, Trait, Situation

b. Situation, Great Man, Group

c. Leader-Oriented, Situation, Group

d. Group, Leader-Oriented, Trait

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 2

1. d
2. d
3. a
4. a-1, b-2, c-5, d-3, e-4, f-5, g-5, h-1
5. c

Now, go to Summary 3 on page 83.

Summary 3

The Navy's Concept of Leadership

Scope

Naval leadership is the art of accomplishing the Navy's mission through people. It is a process which is administered by a naval officer (leader) and is considered to be broader in scope than the classical concepts of leadership.

Comparison of Naval Leadership Process With Classical Leadership and the Management Process

The classical concept views leadership as the act of leading people. Naval leadership, although it includes the classical concept of leadership, goes beyond it.

It includes the management process and the traditional responsibility of a naval leader to be accountable and morally responsible for the effective use of men, money, and material. A keystone of naval leadership is the moral code demonstrated in personal example and moral responsibility. The classical concept reflects no such moral considerations.

Principles of Psychology

How the leader controls and directs his actions with people may determine his success as a naval officer. A knowledge of psychological principles helps a leader to understand himself, human motives, differences between individuals, and the responses of an individual when functioning alone or in a group. The use of the principles of psychology can make the leader more effective in managing:

1) The behavior of subordinates in pursuit of the mission

2) His own behavior in order to function properly with associates, both senior and junior

Functions of Management

Management is a prominent component of the naval leader's exercise of leadership. The leader should know about the functions of management so that he can accomplish the Navy's mission efficiently and effectively. The lives of his men depend upon timely guidance, support, and supplies. The naval leader must continually call upon his managerial ability, since he is held accountable for use of men, public funds, and material within the framework of Defense Department "corporate policy."

Timing plays a monumental role in the outcome of a mission. Bringing elements of the management process together in common action at the optimum time constitutes a most severe test of judgment. This tying together of all the resources and efforts at the disposal of the leader is known as coordination--one of the five functions of management. It is intimately related to the other four functions, planning, organizing, directing and controlling.

Planning. Every leader, including those at the lowest level, must habitually look to the future and plan activities over which he has direct control. The plan is the mental design by which the goal should be achieved. Planning is a means, not an end. Few plans are perfect. Plans are often redrawn, revised, recalled, or discarded as conditions change. All manner of goals are suitable for planning--an in-port leave schedule, a shipyard availability, expenditure of operating funds, rendering assistance during natural disaster, training and school quotas, a flight, a barrier operation against coastal infiltration, an amphibious landing, etc. Planning, and the other functions of management will be discussed in greater detail in Part Five of the course.

Organizing. Every leader must be, among other things, an organizer, since he is constantly required to organize his gr up or unit in a manner best adapted to the accomplishment of some task or mission. It is, of course, no great challenge

to apportion unit resources to accomplish a task when the resources are vast. But seldom it is that such a situation exists. Be it personnel alone, or ship and aircraft and troop units, there is never enough to reach the goal in a breeze. Shaping the resources as close to optimum as possible takes considerable analysis of innumerable variables. How might you organize a company of the Brigade of Midshipmen to assure a considerable advantage in sports competition through the year?

Directing. Every leader initiates action toward mission accomplishment by telling his subordinates what he wants done. He states his directives clearly, briefly and completely in an authoritative, consistent and timely manner. It is the directive that initiates execution of the effort to gain the goal. Whether the leader is a 2/c squad leader getting plebes off to a good start, an OOD (In-Port) directing the duty motorboat coxswain to proceed to the Fleet Landing, or a carrier division commander directing air strikes against an enemy target cluster, none of the desired operations will come to pass until the directive of who, what, where, when, (and sometimes how and why) is given.

Controlling. Every leader determines that his plans are being executed as he directed by controlling and monitoring progress, thus assuring adherence to standards and determining whether further direction is required. Once the enemy is engaged and the need for clandestine approach and surprise no

longer are factors the radios crackle with constant inquiries on "How are you doing?" "What do you need?" "Did you get snarled up again?" Successfully deciding that precise time to commit the reserve and tip the balance of the effort in our forces' favor is a reasonable possibility only if the leader keeps touch with his people and watches their progress. Tasks, simple by comparison, such as provisioning ship, unloading ammunition, or running a boat schedule, still require constant attention, surveillance, monitoring--controlling--to be efficiently achieved.

Coordination. Orderly synchronization of all the efforts of involved agencies toward the objective constitutes "coordination?" Each of the management functions contains elements of the other. Coordination of both ideas and activities is the bonding process that harmoniously brings together planning, organizing, directing, and controlling, so that they serve a common purpose. Note carefully the several facets of coordination: (1) the managerial function that weaves the other functions together, and (2) the integration of all details necessary for accomplishment of the mission by the consolidated effort of all participating units and personnel.

This is the end of Summary 3. Now, go the next page and take the Quiz.

Summary Pre-Quiz 3

The Navy's Concept of Leadership

Answer the following questions with the single best selection as indicated in your Student Guide.

---

1. By definition, naval leadership is:

   a. The science of influencing human behavior to accomplish the desires of the leader

   b. A constantly changing balance of personal example, efficient management practices, moral responsibility, and inspirational efforts

   c. The art of accomplishing the Navy's mission through people

   d. An art involving the effective use of materials for a common purpose

---

2. Psychology management, and moral responsibility make up:

   a. The components of classical leadership

   b. The integration and consolidation of leadership functions

   c. The anti-theories of classical leadership

   d. The aspects of naval leadership

3. Which correctly lists the functions of management?

   a. Commanding, inspecting, planning, selecting, reporting

   b. Planning, organizing, directing, controlling, coordinating

   c. Motivating, facilitating, operating, classifying

   d. Organizing, selecting, directing, accomplishing

---

4. A knowledge of the principles of psychology is most important to a leader because:

   a. A leader can correct conflicts and frustrations exhibited by military personnel.

   b. A leader can become more effective in managing his own behavior and the behavior of subordinates in accomplishing the mission.

   c. A leader can apply scientific techniques learned from psychology to the art of leadership.

   d. A leader can use psychological principles to his advantage in facilitating his advancement in rate.

---

5. The Avionics Officer plans for the avoidance of unnecessary waste of manpower and materials by such means as establishing suitable operating hours and an inexpensive inventory system to control a storeroom of costly electronic spare parts. The leadership behavior in the situation is more in accord with:

   a. The naval leadership process

   b. Classical leadership

   c. The management process

   d. The economical process

Now check your answers.

ANSWERS TO SUMMARY PRE-QUIZ 3

1. c
2. d
3. b
4. b
5. c

If all your answers are correct you have finished this segment. If you missed one or more questions, go to the next page and go through Programed Sequence 3.

Programed Sequence 3

The Navy's Concept of Leadership

In this sequence we will discuss naval leadership and its relationship to classical leadership. You will find that psychology, management, and moral responsibility are important aspects of naval leadership. Finally, you will study why a knowledge of these components is important to the naval officer.

---

1 The classical concept of leadership views leadership as related only to those activities concerned with controlling and guiding subordinates' efforts.

With which of these would a "classical" leader necessarily be concerned?

a. Leading men toward mission accomplishment

b. Learning technical skills for proper administration of government property

---

2 Which concept views leadership solely as the act of leading people?

a. Management leadership

b. Naval leadership

c. Classical leadership

d. None of the above

3 By definition, classical leadership excludes management as a necessary function, although in the course of executing their duties such leaders may consider the efficient use of money, material, and time.

Which example illustrates classical leadership?

a. ENS Alpha notices that turret no. 1, part of the space for which he is responsible, needs painting. He requisitions supplies, giving special attention to price, quality, and amount of paint needed.

b. ENS Alpha has been notified that a captain's inspection will take place on Friday. He gives his boatswain's mate and gunner's mate instructions to clean up turret no. 1. Because the coming inspection is important, ENS Alpha supervises the work closely to ensure that the space is cleaned up as he has directed.

---

4 Which is true of classical leadership?

a. It does not focus on the efficient use of money, material, and time as a requisite.

b. It is related only to the act of leading people.

c. Both of the above

d. None of the above

---

5 The classical concept of leadership places no moral obligation on the exercise of leadership.

Which is true in classical leadership?

a. The end result justifies any means used to obtain the objective.

b. The leader is necessarily concerned with adhering to proper standards.

6 A classical leader can take the view: "Hang the cost in men and materials. I don't care what the moral implications are; let's accomplish our objective."

Which is true?

a. All classical leaders are persons having glaring deficiencies in such qualities as loyalty, duty, honor and responsibility.

b. All non-classical leaders are persons having high moral values and character integrity.

c. Both of the above

d. None of the above

---

7 The naval concept views leadership as involving moral considerations and management responsibilities in addition to the requirement of leading men.

Which of the following is true?

a. Naval leadership includes no aspects of the classical concept.

b. Naval leadership is narrower in scope than the classical concept.

c. Both of the above

d. None of the above

---

8 The Navy expects its leaders to adhere to certain standards of responsibility.

What does this mean about naval leadership?

a. It reflects a definite moral code.

b. It does not restrict its officers when it comes to the means they may employ to accomplish the mission.

9 Which applies to classical leadership?

a. Is related only to the act of leading people

b. Involves definite moral and ethical considerations

c. Excludes any requirement that the leader consider the efficient use of money, material, and time

d. Both a and b above

e. Both a and c above

---

10 Which is true to the art of accomplishing the Navy's mission through people?

a. It is synonymous with the classical concept of leadership.

b. It involves the traditional responsibility of the naval leader to be accountable and morally responsible for the effective use of men, money, and material.

---

11 Match the concept of leadership in the left column with the appropriate statements in the right column.

a. Classical concept

b. Naval concept

1) An ethical connotation is not implied.

2) Moral responsibility is a necessity.

3) Leader is obliged to consider the effective use of money, material, and time.

4) It reflects a moral code based on personal example, moral responsibility, and good management practice.

12 Which is the definition of naval leadership?

a. The lawful authority that a naval leader exerts over his subordinates.

b. The art of accomplishing the Navy's mission through people.

13 Here are the three considerations of naval leadership.

1) Influencing men

2) Responsibility for the efficient use of money, materials, and time

3) Responsibility for high principled conduct

These considerations require that the leader know three components of naval leadership.

These are:

a) Management techniques

b) Psychological principles

c) Moral responsibility

Although each component may have some implication for all of the considerations, match the components with the considerations they most affect.

a. _____

b. _____

c. _____

14 A knowledge of psychology will probably improve a naval officer's skill in leading men, and thus contribute to the success of his service.

Why is an understanding of psychological principles important?

a. How a leader controls and directs his actions with people may determine his success as a naval officer.

b. A knowledge of the basic principles of psychology provides ready-made answers to subordinates' personal problems.

---

15 A knowledge of the principles of psychology provides a naval officer with a background for knowing himself and those he comes in contact with.

Which is true of psychological principles?

a. They provide a leader with a means for approaching self-understanding.

b. They help a leader to understand human motives, differences between individuals, and the responses of an individual when functioning alone or in a group.

c. Both of the above

d. None of the above

---

16 Which do the basic principles of psychology, management, and moral responsibility describe?

a. Aspects of naval leadership

b. The mission of naval leadership

17 An understanding of psychology can aid the leader in his relationship with others by providing him with an understanding of likely motives by which he himself and others act. With this insight he may better guide the behavior of his men.

Which statement correctly describes why a knowledge of psychological principles is important to a leader?

a. An understanding of psychological principles determines a leader's success as a naval officer.

b. A knowledge of psychological principles probably will help the leader to manage his own behavior and the behavior of subordinates.

c. Knowledge of psychological principles will ensure success in mission accomplishment.

d. Both a and c above

e. Both a and b above

---

18 Which phrase correctly defines naval leadership?

a. The process of influencing men to accomplish a specific goal

b. The art of accomplishing the Navy's mission through people

c. The activity of leading men and groups toward their goals

d. The effective use of men and material for a common purpose

19 Which is true of the classical concept of leadership?

a. It requires that leadership be related only to leading men.

b. It does not imply a moral/ethical connotation.

c. Both of the above

d. None of the above

Management Process

The next series of frames will discuss the management process, an important component of naval leadership. You will consider the five functions of management, as well as why a knowledge of the management process is important to the naval officer.

---

20 Management is a process which involves the systematic application of techniques for the effective and efficient use of resources that are available to accomplish a task.

Which of these defines management?

a. The art of accomplishing a task through the inspirational efforts of a leader in influencing subordinates

b. The science of employing men, money, and material in the economical and effective accomplishment of a mission

21 One purpose of coordination is to bring smoothly into common action the functions of planning, organizing, directing, and controlling so that they form an interrelated whole.

How may coordination be described?

a. The integration and consolidation of the other management functions

b. The distribution of the basic principles of management

---

22 Which do you call the integration by the leader of all details necessary for the accomplishment of the mission?

a. Cooperation

b. Unification

c. Coordination

d. Synchronization

---

23 Initially, planning may be described as determining in advance what is to be done. It is the means by which military activity is guided from the present into the future in order to accomplish a mission.

Which example(s) describe(s) planning?

a. The CIC officer develops a leave schedule to ensure that personnel can take authorized leave at times that do not conflict with critical training.

b. The Anti-Submarine Warfare Officer sets short- and long-range goals for developing a training program and formulates those activities necessary to achieve the desired result.

c. Both of the above

d. None of the above

24 The organizing function is the process of identifying and grouping duties to be performed, of defining and delegating authority, and of creating relationships enabling personnel to work effectively together.

Which is an example of organizing?

a. The First Lieutenant determines what tasks have to be performed for the day. He allocates the work based on the skills of his subordinates and describes the extent of authority and responsibility of each of his men.

b. The Electronics Officer supervises the activities of his group, which is charged with installing a new-type radar aboard ship. During the installation process he explains essential points necessary for installing the gear.

---

25 The Damage Control Assistant determines the procedures necessary to accomplish a mission he has been assigned. After reviewing alternate courses of action open to him, he decides on what he considers to be the best option. He then specifies the number of men required to do the job and the equipment needed. He assigns specific tasks to his subordinates, making sure that experienced men are assigned to those tasks requiring special knowledge and that each knows his responsibilities and the limit of his authority.

The management function(s) described here is (are):

a. Planning

b. Organizing

c. Both of the above

d. None of the above

26 The leader's initiation of action toward mission accomplishment by telling his subordinates what he wants done is called directing.

Directing involves which of these?

a. Collective action of one person with another or others towards a common goal

b. Issuance of orders and instructions to persons to indicate what is to be done

---

27 The function of controlling is determining what is being accomplished, evaluating what is being accomplished, and applying corrective measures, if necessary, so that performance takes place according to plans.

Which defines controlling?

a. Ensuring that plans, orders, directives, and policies are being accomplished in such a manner that the objectives will be attained

b. Determining and arranging of men and materials so that they are employed in an economical and efficient manner

28 A leader sets short- and long-range goals and makes definite plans to reach these goals. He schedules work and allocates men and material for accomplishing the goals. When work is in progress, he issues clear directives, provides a system of supervision, and checks to see that the standard he has set is adhered to. In addition, he coordinates the work effort so that it proceeds harmoniously.

Which management function is described?

a. Planning and directing

b. Controlling and organizing

c. Coordinating

d. Both a and b above

e. a, b, and c above

---

29 Which correctly lists the functions of management?

a. Coordination, controlling, assisting, directing, organizing

b. Organizing, controlling, planning, directing, coordinating

c. Planning, directing, controlling, coordinating, economizing

d. Directing, planning, conditioning, coordinating, controlling

30 Commander Mine Squadron Eight has been ordered to conduct a clearance sweep of a reported minefield. Development of the operation plan/operation order (the who, what, when, where and how) has been left to the Squadron Commander. To accomplish the objective--sweep the minefield--the Commander analyzes the situation, determines alternative courses of action, decides what hazards are inherent in the operation, and selects the best course of action available. Before starting the minesweeping operation, the Squadron Commander calls together the Commanding Officers of all ships and assigns specific duties to them keeping in mind the capabilities of each of the individual Captains to perform any special functions required. He sets up proper lines of communication and assigns definite tasks to each of the Commanding Officers. After deploying his squadron in a manner best suited to the selected course of action, he proceeds to execute the minesweeping operation. He oversees and supervises the execution of the plan, issuing specific orders and instructions to guide the operation. Based on information provided by his Operations Officer, he applies the necessary means to ensure that the operations are proceeding in the desired manner. When deviations from the plan are noted or when unexpected problems arise, he takes corrective action. Accomplishment of the objective is brought about by proper timing and the orderly synchronization of efforts and by the Squadron Commander's directing execution.

Match the management function in the left column with its appropriate statement on the right.

a. Planning	1) Accomplishment of the objective is brought about by proper timing and the orderly synchronization of efforts.
b. Organizing	
c. Directing	
d. Controlling	
e. Coordinating	2) The Commander analyzes the situation, determines courses of action, decides what hazard are inherent in the operation, and selects the best course of action.
	3) Commander Mine Squadron Eight orders his ships to execute the sweep operation of a reported minefield.
	4) When deviations from the plan are noted or when unexpected problems arise, the Squadron Commander takes corrective action.
	5) Squadron Commander assigns specified tasks according to the capabilities of each ship, as well as each Captain's capacity to perform any special functions required, and assigns definite tasks to each of the officers.

31 Which of these correctly lists aspects of naval leadership?

a. Psychological principles, leadership skills, management techniques

b. Management techniques, moral practices, psychological principles

c. Moral practices, management techniques, psychiatric principles

d. Leadership skills, moral responsibility, management techniques

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32 The Commanding Officer, USS Albuquerque, believed he could upgrade the ship's performance and efficiency far above the present level. To accomplish this, much effort went into ensuring that records on the use of money, materials, and man-hours were kept up to date in order to provide early indication of areas where improved performance was necessary. He also instituted streamlining programs in work procedures and methods to further improve the skills and performance in the command. The results of the Commanding Officer's efforts were soon forthcoming, and the program did result in improvements. However, the increased emphasis on these aspects caused his officers to neglect other areas of leadership. In the process disciplinary offenses increased and reenlistment rates dropped. The men were dissatisfied, and military spirit and standards declined.

In the foregoing situation, which of the components of naval leadership was minimized to the detriment of the ship's company?

a. Psychological principles

b. Management techniques

33 The following statements relate to some of the responsibilities of a leader.

1) A leader must know how to operate efficiently within the framework of part of the largest corporation in the world (the Defense Department).

2) The leader must account for and be morally responsible for the effective use of his human, monetary, and material resources.

3) Men's lives depend on the leader's ability to provide supplies, support, and guidance.

What do these statements indicate?

a. Reasons why a leader should know about functions of management

b. Reasons why a leader should know about principles of psychology

---

SUMMARY: In this sequence you have learned the meaning and importance of naval leadership. Naval leadership in all its aspects--military, moral, psychological--is an ability and a responsibility all naval officers must strive to acquire.

This is the end of Programed Sequence 3. Now, go to the next page and take the Quiz.

Summary Post-Quiz 3

The Navy's Concept of Leadership

Answer the following questions with the single best selection as indicated in your Student Guide.

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1. By definition, naval leadership is:

   a. The science of influencing human behavior to accomplish the desires of the leader

   b. The art of accomplishing the Navy's mission through people

   c. A constantly changing balance of personal example, efficient management practices, moral responsibility, and inspirational efforts

   d. An art involving the effective use of materials for a common purpose

---

2. Psychology, management, and moral responsibility make up which of the following?

   a. The components of classical leadership

   b. The integration and consolidation of leadership functions

   c. The aspects of naval leadership

   d. The anti-theories of classical leadership

3. Which correctly lists the functions of management?

   a. Commanding, inspecting, planning, selecting, reporting

   b. Organizing, selecting, directing, accomplishing

   c. Planning, organizing, directing, controlling, coordinating

   d. Motivating facilitating, operating, classifying

4. Why is a knowledge of the principles of psychology most important to a leader?

   a. A leader can correct conflicts and frustrations exhibited by military personnel.

   b. A leader can become more effective in managing his own behavior and the behavior of subordinates in accomplishing the mission.

   c. A leader can apply scientific techniques learned from psychology to the art of leadership.

   d. A leader can use psychological principles to his advantage in facilitating his advancement in rank.

5. The Avionics Officer plans for the avoidance of unnecessary waste of manpower and materials by such means as establishing suitable operating hours and an inexpensive inventory system to control a storeroom of costly electronics spare parts.

The leadership behavior in the situation is more in accord with which of the following?

a. The management process

b. The naval leadership process

c. Classical leadership

d. The economical process

Now, check your answers on the next page.

ANSWERS TO SUMMARY POST-QUIZ 3

1. b
2. c
3. c
4. b
5. a

This is the end of Part One, Segment I.

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ONE

OVERVIEW OF LEADERSHIP

Segment I

Concept of Leadership

Progress Check

WESTINGHOUSE LEARNING CORPORATION
Annapolis, Maryland
1971

CONCEPT OF LEADERSHIP

PROGRESS CHECK

Question 1.

CDR Branch is tasked with establishing the procedures for ensuring the safety of personnel manning an isolated floating weather station. Prior to drawing up the plans for the installation and its operation, the engineers and technicians under his command must have CDR Branch's specifications for materials and emergency procedures.

CDR Branch realizes that the men aboard the offshore station must continue operation in the face of adverse weather conditions and possible enemy action, and that the station will be abandoned only in the direst of situations. Therefore, he outlines a series of increasingly stringent maintenance and support requirements to cover increasingly severe degrees of adverse conditions, all designed to keep the station operative, and, at the same time, ensuring the safety of its personnel.

CDR Branch's decision to put the specifications in the form described above is an example of:

a. Classical leadership

b. Management process

c. Naval leadership

d. Coordination

Question 2.

LTJG Max Ernst, in charge of a base motor pool, is a super-democrat. He believes that all men are created equal, and they had better be. He gives little heed to the scores the men have made on abilities tests; he feels that individual personalities have no place in a military operation, and since he always expects a job to be done perfectly the first time, his only departure from his normal routine is if one of his men departs from optimum performance of a detail or in some way is not all Navy. He has never been known to go out of his way to deliver an approving remark when a job has been well done. Along with his belief that all men are equally capable, he assumes that they are all equally motivated. His goal-orientation is on a high level, and he expects that his men will have the same high level of aspiration. If one of his men is depressed and functioning at a low level, due to some personal difficulty, LTJG Ernst is likely to increase the demands on the man, rather than ease such demands.

Which of the following components of naval leadership is LTJG Ernst neglecting?

a. Moral aspect of leadership

b. Application of psychological principles to accomplish mission.

c. Strong goal-orientation.

d. Management of men, money and material.

Question 3.

Which list of characteristics best typifies the military concept of leadership?

a. Authority by seniority; human lives and general welfare take precedence over mission; resistance to higher authority in the interest of his followers.

b. Leadership a subset of management; human life, money and material more important than mission; no responsibility for off-the-job performance of subordinates.

c. Authority by election; human relations not emphasized; exemplary behavior not required.

d. Mission takes precedence over other factors; authority by appointment; moral responsibility of leader is stressed; management just a single aspect of leadership.

Question 4.

Which of the following conclusions best summarizes the Group Theory of Leadership?

a. Leadership is a function of group dynamics, the leader continually interacting with the followers--a vertical relationship, and the followers interacting among themselves--a lateral relationship.

b. Poorly led, demoralized groups can perform a mission well, while groups with vigorous leadership and high esprit de corps can fail.

c. A generally inadequate leader, given a responsive group, can perform the leadership function in a satisfactory manner.

d. Successful accomplishment of a mission is primarily a function of the interactions within the group, and its resulting group-consciousness, independent of the actions and qualities of the leader.

Question 5.

Which of the following is a correct matching of a theory of leadership with the factors that are central concerns of the stated theory?

a. Leader-oriented Theory:
- Leader-to-follower relationships.
- Formal acceptance by group of the leader.
- The appropriateness of a specific leader to a given situation.

b. Situation Theory:
- Human relations.
- Dynamics of personal interaction.
- Accentuation under stressful conditions of individual prejudices, attitudes, emotions.

c. Group Theory:
- Vertical-lateral relationships.
- Transferability of allegiance to adequate leaders.
- Peer-to-peer relationships.

d. None of the above

Question 6.

What are the five basic management functions?

a. Planning, organizing, directing, controlling, coordinating

b. Goal-setting, influencing, integrating, goal-achievement, programing

c. Guiding, supporting, monitoring, consolidating, synchronizing

d. Leading, following, supervising, projecting, compromising

Question 7.

Which of the following statements best characterizes the conclusions that might be drawn from leader-oriented theories of leadership?

a. There are distinctive, identifiable leadership traits, as differentiated from traits of followers, which can be shown to be effective across all conditions and situations.

b. Leadership probably results from a combination of traits possessed by both leader and followers.

c. A man who is born to lead can do so in almost any situation and at any time.

d. A leader always surpasses his followers in the traits of superior social and moral orientation, integrity, maturity, intelligence and judgment.

Question 8.

Which of the following statements best summarizes the conclusions that may be drawn from the theoretical approaches to leadership?

a. Leaders of men are most efficiently chosen with careful attention to the anticipated situations in which they will be expected to exercise qualities of leadership.

b. The situation in which the leader and the group find themselves is the sole determinant of the commands given by the leader and the manner in which these commands are carried out by his subordinates.

c. An officer who performs well as a leader in one situation, for instance in combat, usually performs adequately when required to function in a very different situation, such as leading a division on a ship in dry dock.

d. The leadership approach used with a particular group is in part dependent upon the make-up of the group, in part dependent upon the personality of the leader; however, the leader must be able and ready to modify his approach according to the situation.

Question 9.

A munitions dolly aboard a carrier breaks loose from its moorings and it is being thrown starboard to portside by the ship's motion. Seaman Feeney, seeing two groups of men in a state of disorder about the situation, calls out to each group to take up opposite positions at the extremes of travel of the dolly. He then tells all of them to watch for an opportunity to reach the braking mechanism and to apply the brakes when the dolly has slowed down. Most of the men are not aware of the rank of the person calling out the suggestions, but the dolly is finally immobilized and the threat is eliminated.

The manner by which Seaman Feeney achieved his leadership position would classify him as which kind of leader?

a. Charismatic

b. Emergent

c. Appointed

d. Elected

Question 10.

Which of the following statements offers the best reason for the Navy to require its leaders to learn and use the principles of psychology?

a. Principles of psychology are useful to the officer who deals primarily with men, since such principles allow him to judge the intelligence, personality and skills of each man and assign the right man to the appropriate task.

b. Essentially, psychological principles are most useful to an officer-leader in providing him with insight into his own character and actions, so that he might better adjust himself to stressful situations.

c. Appropriate application of the principles of psychology helps the officer optimize his effectiveness in dealing with his subordinates in pursuit of successful accomplishment of the mission, and maximizes his effectiveness in dealing with his peers and senior officers.

d. A thorough knowledge and application of psychological principles aids the officer in understanding and illuminating the hidden motivations of his men, thus cancelling out possible sources of trouble in the future.

One/I/RPF INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PROGRESS CHECK ANSWER AND REMEDIATION FORM

PART One SEGMENT I

REMEDIATION TEXT Syndactic Text - Vol - I

ITEM	ANSWER	REMEDIATION REFERENCE
1	c	Summary 1; page 2
2	b	Summary 3; pages 86-87
3	d	Summary 1; pages 1-4
4	a	Summary 2; page 48
5	c	Summary 2; pages 44-54
6	a	Summary 3; page 85
7	b	Summary 2; page 48
8	d	Summary 2; page 51
9	b	Summary 1; page 5
10	c	Summary 3; page 84
11		
12		
13		
14		
15		

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ONE

OVERVIEW OF LEADERSHIP

Segment II

Standards of Leadership in the Naval Service

Discussion Booklet

(DB)

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

FOREWORD

"Ah, but a man's reach
should exceed his grasp,
or what's a heaven for?"

Robert Browning

Regulations regarding standards of leadership in the service are introduced in this segment, not to imply thoughtless memorization but to invite discussion on both the letter and spirit of published orders. If leadership standards, like any other type of honorable human endeavor, can not be legislated they can at least be codified and promulgated. These directives serve as clear statements of the standards that authority and experience believe to be necessary. The failure of individuals to attain these standards does not reflect on the wisdom or desirability of the objectives, but rather on the humanity of those who pursue them.

STANDARDS OF LEADERSHIP IN THE NAVAL SERVICE

OVERVIEW: This segment covers materials relevant to the relationship of General Order 21 to Naval leadership. Following your study of the materials in this text, you will participate in a group discussion.

Instructions

Read the textual material attached. Refer frequently to the questions on the next page to guide your study. The same questions will, in all probability, be used to guide your group discussion later. Report to class for the discussion at the time specified by your instructor.

1) What is the objective of General Order (GO) 21 and how does it relate to the Navy's combat role?

2) What levels of command are responsible for compliance with the provisions of GO 21?

3) In the context of GO 21, what does the phrase "moral responsibility" include, and what does it require of every leader at every level of command?

4) GO 21 cites the need to pay particular attention to "personal example of behavior and performance." What qualities are implied here? To whom do these qualities pertain?

5) "Established standards for personnel development" in GO 21 pertains to training and education. Training and education for whom? How is it accomplished?

6) Integrating the principles and practices of leadership in the everyday routine entails some special responsibilities for you as a leader in dealing with the men who serve under you. What are these responsibilities? At what level of command are they appropriate?

7) What are your (and every leader's) responsibilities toward insuring effective organization and administration?

Textual material attached is reproduced from two manuals prepared by the Bureau of Naval Personnel:

Chapter 10, "Leadership", from Naval Orientation, NavPers 16138-E (1965), pages 187-193.

General Order No. 21 with its references, from USN Manual for Leadership Support, NavPers 15934-A, pages vii-xi and A-6 through A-9.

Introduction

From time to time, certain matters of policy and/or operations arise which are of vital importance to and have far-reaching implications for all commands throughout the Navy. These subjects then become the topics of General Orders published periodically by the Secretary of the Navy to direct command attention to these urgent matters.

General Orders are in no way limited to specific subjects or matters of concern. General Order 13, for instance, deals with defensive sea areas and air space reservations, and designates those parts of the world, vital to national defense, which are the specific responsibility of the Navy. General Order 5, on the other hand, concerns the assignment and distribution of authority and responsibility for administration of the Navy.

Our prime concern at this point is General Order 21--an order from the Secretary of the Navy concerning leadership in the U.S. Navy and Marine Corps. This order specifically requires every command, major office and bureau of the Navy department to do three things regarding leadership:

1) To review leadership standards on a continuing basis.
2) To improve leadership standards.
3) To provide instruction in leadership practices and principles.

The following extracts from official documents provide the specific content and details you need for your study of General Order 21, its concepts and requirements.

GENERAL ORDER
NO. 21

NAVY DEPARTMENT
Washington, D. C., 1 May 1963

LEADERSHIP IN THE UNITED STATES NAVY AND MARINE CORPS

Part I—Discussion

The United States Navy-Marine Corps records of victorious achievements on land, at sea, and in the air in peace and war have won for these services an honored position in our great nation. This heritage was passed on to us by our leaders, both officer and enlisted, whose outstanding examples of courage, integrity and devotion to duty are historically significant. They accomplished their missions successfully by high caliber leadership and personal example. The strength of our nation and of our services depends upon courageous, highly motivated and responsible individuals.

Part II—Objective

The objective of this general order is to achieve an ever-improving state of combat readiness by:

a. Emphasizing that successful leadership at all levels is based on personal example and moral responsibility.

b. Insuring that every man and woman are themselves examples of military ideals.

c. Requiring personal attention to and supervision of subordinates.

Part III—Action

1. The Chief of Naval Operations and the Commandant of the Marine Corps shall be directly responsible for maintaining optimum leadership standards. The Under Secretary of the Navy shall be responsible for the proper implementation of this order.

NOTE: This general order supersedes General Order No. 21 dated 17 May 1958 C. G. O. 9

General Order No. 21

2. Fleet, Force, Type and Administrative commanders shall review each command's leadership posture as an integral part of military inspections and shall include their evaluation in inspection reports.

3. Every command and every major office and bureau of the Navy Department shall, on a continuing basis, review its leadership standards; each shall take effective measures to improve them and shall develop an awareness of the need for good leadership by providing programs for instruction in leadership principles and practices.

4. All persons in responsible positions, military and civilian, shall require that their subordinates discharge their duties in accordance with traditional concepts of Navy and Marine Corps standards, paying particular attention to:

a. Moral responsibility.
(Article 0702A, *Navy Regulations* - Paragraph 5390, *Marine Corps Manual.)*

b. Personal example of behavior and performance.
(Article 1210, *Navy Regulations* - Paragraph 5390, *Marine Corps Manual.)*

c. Established standards for personnel development.
(Article 0710, *Navy Regulations* - Paragraph 1500, *Marine Corps Manual.)*

d. Integration of principles and practices of leadership into everyday routine.
(Article 0709, *Navy Regulations* - Paragraph 5390, *Marine Corps Manual.)*

e. Effective organization and administration.
(Article 0704, *Navy Regulations* - Paragraph 3000, *Marine Corps Manual.)*

For emphasis and ready reference these articles are reprinted with this General Order.

/s/ Fred Korth
Fred Korth
SECRETARY OF THE NAVY

0702A. Commanders' Duties of Example and Correction

All commanding officers and others in authority in the naval service are required to show in themselves a good example of virtue, honor, patriotism, and subordination; to be vigilant in inspecting the conduct of all persons who are placed under their command; to guard against and suppress all dissolute and immoral practices, and to correct according to the laws and regulations of the Navy, all persons who are guilty of them; and to take all necessary and proper measures, under the laws, regulations, and customs of the naval service, to promote and safeguard the morale, the physical well-being, and the general welfare of the officers and enlisted persons under their command or charge.

1210. Conduct of Persons in the Naval Service.

All persons in the naval service shall show in themselves a good example of subordination, courage, zeal, sobriety, neatness, and attention to duty. They shall aid to the utmost of their ability, and to the extent of their authority, in maintaining good order and discipline, and in all that concerns the efficiency of the command.

0710. Training and Education.

The commanding officer shall:

1. Endeavor to increase the specialized and general professional knowledge of the personnel under his command by the frequent conduct of drills, classes, and instruction, and by the utilization of appropriate fleet and service schools.

2. Encourage and provide assistance and facilities to the personnel under his command who seek to further their education in professional or other subjects.

3. Require those lieutenants (junior grade) and first lieutenants who have less than two years commissioned or warrant service, and all ensigns and second lieutenants:

(a) To comply with the provisions prescribed for their instruction by the Chief of Naval Personnel, the Commandant of the Marine Corps, or the chiefs of other appropriate bureaus.

(b) To keep journals, to attend classes, and to receive appropriate practical instruction, as the commanding officer deems advisable.

4. Detail the officers referred to in paragraph 3 of this article to as many duties successively as practical. This rotation of duties should be completed during the first two years of the officer's commissioned service. The commanding officer shall indicate on the fitness report of each such officer the duties to which he has been assigned, the total period of assignment, and the degree of qualification in such duties.

5. Designate a senior officer or officers to act as advisors to the officers referred to in paragraph 3 of this article. These senior officers shall assist such junior officers to a proper understanding of their responsibilities and duties, and shall endeavor to cultivate in them officer-like qualities, a sense of loyalty and honor, and an appreciation of naval customs and professional ethics.

0709. Welfare of Personnel.

The commanding officer shall:

1. Use all proper means to promote the morale, and to preserve the moral and spiritual well-being of the personnel under his command.

2. Endeavor to maintain a satisfactory state of health and physical fitness in the personnel under his command.

3. Afford an opportunity, with reasonable restrictions as to time and place, for the personnel under his command to make requests, reports or statements to him, and shall insure that they understand the procedures for making such requests, reports, or statements.

4. Insure that noteworthy performance of duty of personnel under his command receive timely and appropriate recognition and that suitable notations are entered in the official records of the individuals.

5. Insure that timely advancement in rating of enlisted personnel is effected in accordance with existing instructions.

0704. Effectiveness for Service.

The commanding officer shall:

1. Exert every effort to maintain his command in a state of maximum effectiveness for war service consistent with the degree of readiness prescribed by proper authority.

2. Report to his appropriate senior any deficiency which appreciably lessens the effectiveness of the command.

3. Report, with his recommendations, to the bureau or office concerned, whenever, in his opinion, his authorized allowances of personnel or material exceed or fall short of requirements.

A. INDICIA OF COMMAND LEADERSHIP

I. IMPORTANCE OF SERVICE

> All commanding officers . . . in the naval service are required to show . . . a good example of virtue, honor, patriotism and subordination; to be vigilant . . .
>
> —Navy Regulations, 0702A

1. Efforts should be made to instill feelings of patriotism, love of country, pride in service, devotion to duty, and an understanding of the command's contribution and the individual's contribution to combat readiness.

2. All personnel should understand, or be taught to understand, the obligations they incurred upon commissioning or enlistment, or upon accepting employment by the government.

3. The Navy and Marine Corps missions, as well as the missions of the command, should be explained to all personnel until they are understood.

4. Continued efforts should be made to ensure: a strong foundation of Americanism, an understanding of our Constitution. a desire to fight for our way of life and national goals.

> It will be necessary for officers . . . to make every effort . . . to cultivate in their hearts a deep abiding love of Corps and Country.
>
> —Marine Corps Manual, 5390(5)(d)

II. DISCIPLINE AND SMARTNESS

(The following items by regulations or terminology appear more applicable to military personnel. However, they can be applied to civilian personnel with appropriate rephrasing.)

1. All personnel should exhibit a can-do spirit, perform their duties enthusiastically, and maintain the highest standards of military courtesy off duty as well as on duty.
2. All equipments and spaces should exhibit compliance with standards of readiness, safety, efficiency, and economy.
3. All personnel should maintain the highest standards of personal appearance and compliance with uniform or clothing regulations.
4. Instances of insubordination, uniform violations, unauthorized absences, late arrivals and comparable offenses are held to a minimum or steps are being taken to ensure their correction.
5. Drills, working periods and watches begin on time and are performed with smartness and dispatch.
6. Living and working spaces are in good condition, smart in appearance and free from extraneous details—irish pennants, unsafe appendages or obstacles, or indecent matter.

> All . . . shall show . . . a good example of subordination, courage, zeal, sobriety, neatness, and attention to duty. They shall aid . . . in maintaining good order and discipline . . . .
>
> —Navy Regulations, 1210

III. COMMAND CLIMATE

> . . . to guard against and suppress all dissolute and immoral practices, and to correct all persons who are guilty of them . . . .
>
> —Navy Regulations, 0702A

1. Personnel at all levels should exhibit trust and confidence in one another—or be taking steps to correct persons or situations that cause mistrust.

2. Decisions at all levels should be made or reviewed with their ethical implications in mind so that all are aware that decisions are made for the sake of combat readiness and the efficiency and good order of the command or unit.

3. Considering the location and composition of the command or activity, the following negative indicators are at a minimum:
   a. Requests for transfers.
   b. Avoidable accidents.
   c. Absenteeism.
   d. Excessive drinking, VD incidents, and promiscuity.
   e. Masts and courts-martial.

4. Considering the location and composition of the command or activity, the following positive indicators are at a maximum:
   a. Completion of training courses and advancements in rate.
   b. Reenlistments or extensions.
   c. Participation in non-military programs (People to People, Sports, Blood Donor, and so forth.)

5. Timely and appropriate recognition is given individuals for personal achievement and exceptional performance.

6. Proper concern is taken for recreation and liberty opportunities, and guidance is provided in regard to the dangers from excessive drink, experimentation with narcotics, promiscuity, smuggling, indebtedness, and unsafe driving practices. Parties sponsored by the command or units of the command are properly planned and supervised.

B. INDICIA OF PERSONAL LEADERSHIP

I. PERSONAL EXAMPLE AND CONDUCT

> Effective personal relations in an organization can be satisfactory only when there is complete understanding and respect between individuals.
>
> —Marine Corps Manual, 5390(4)(a)

1. The leader conducts his operations in an efficient, professional manner, not becoming upset by minor or unforeseen problems and avoids the attitude of "do as I say, not as I do."
2. The leader acts with the understanding and conviction that his decisions, utterances, and example are influencing not only the immediate mission but the future character and conduct of those around him.
3. The leader keeps his word, and is fair, just, and humane in his dealings with others.
4. The leader while maintaining the proper chain of command up and down, makes himself appropriately available to subordinates, presents his ideas clearly and courageously to all concerned, and adheres to principle in spite of obstacles and pressures.
5. The leader actively supports and participates in the leadership improvement efforts and he regularly informs subordinates of the standards of professional and personal conduct expected of them.

II. MILITARY PERSONNEL

1. All personnel are familiar with the Armed Forces Code of Conduct, and there is an organized program to ensure training in its applicability to everyday operations as well as to combat conditions.
2. The leader and key members of his unit are able to explain quickly and clearly the changes required to shift the unit from peacetime routine to wartime readiness.
3. The leader accomplishes his missions without blaming others or being blamed by others for mishaps or delays.
4. New personnel are quickly integrated into the command and the latest directives, training information and materials are on hand and in use.
5. Continuing efforts are made to select and assign personnel to jobs for which they are best fitted and the unit or command does not attempt to "hoard" the better qualified men, but is quick to identify and encourage personnel to apply for programs such as USNA, NROTC, NESEP, STAR, MARCAD, Meritorious NCO, and Warrant Officer.

CHAPTER 10

LEADERSHIP

This chapter is designed to give a young officer a brief outline of the basic essentials of an effective naval leader. Though there are similarities in civilian and military leadership, there are some significant differences.

A civilian executive leads by virtue of his superior knowledge (educational and/or occupational), and/or his strong character and his own personality. There is no law which sanctions his position, and he may not be legally responsible for those he leads. His responsibilities, if any, for the well-being of his followers is primarily a moral one. On the other hand, an officer of the U. S. Navy, by virtue of his commission, has a legal as well as a moral obligation. He represents his government's responsibility to enforce the law of the land and he is charged with the well-being of his men. This is stated clearly in Articles 1210, 1211 (see chapter 7), and 0702A of Navy Regulations.

In other parts of Navy Regulations, officers occupying certain billets are charged with their specific duties and responsibilities. We have chosen the duties and responsibilities of a division officer as an example because junior division officer or division officer usually is the first assignment of most young officers and because of the division officer's vital position in the chain of command. The responsibilities of the division officer are spelled out in Article 1044:

"1. A division officer shall be responsible, under the head of his department, for the proper performance of the duties assigned to his division, and for the conduct and appearance of his subordinates, in accordance with regulations and the orders of the commanding officer and other superiors. He shall keep himself informed of the capabilities and needs of each of his subordinates and within his authority, he shall take such action as may be necessary for the efficiency of his division and the welfare and morale of his subordinates. He shall train his subordinates in their own duties and in the duties to which they may succeed, and shall encourage them to qualify for advancement and to improve their education. He shall suppress any improper language or unseemly noise or disturbance, and he shall report to the executive officer all infractions of regulations, orders, and instructions which are deserving of disciplinary action.

"2. He shall by personal supervision and frequent inspection insure that the spaces, equipment, and supplies assigned to his division are maintained in a satisfactory state of cleanliness and preservation. He shall report promptly to his head of department any repairs which may be required or other defects which need correction and which he is unable to effect.

"3. He shall carefully instruct his subordinates in all applicable safety precautions and shall require their strict observance."

A leader's position is slightly analogous to a skilled artisan with a fine set of tools. The craftsman keeps his tools in good condition, for on them depends his ability to turn out a good piece of work. The leader's tools are his men, and he must depend on them to accomplish his assigned mission. He must keep them in good physical condition—but, there the analogy ends. They are not something to be polished by supplying their physical needs, to be laid aside when finished with a job, and to be picked up when needed again.

Even though the Navy does everything feasible to provide for the physical well-being of its men, the young officer must not assume they are, therefore, well cared for. He, personally, must concern himself with their welfare, and he must know them, their backgrounds, their capabilities, and their limitations. An officer must be aware that a man may have certain personal problems that are very important to him. Debts, personal health or sickness in his family, a real or fancied wrong, or any one of

a myriad of other problems may work to destroy a man's peace of mind and, hence, his efficiency. A good officer gains the confidence of his men so that they feel free to consult him about their problems, knowing he will render all assistance of which he is capable. If necessary, he must be able to guide them in seeking further aid. The occasional man who cannot or will not discuss his problems with a superior sometimes can be skillfully drawn out and helped, but an officer should use extreme care when attempting this. Rather than risk causing resentment in the man, the inexperienced officer should seek advice from the chaplain, a psychiatrist, or other skilled counselor before approaching such a man with an offer of assistance. A bungled initial attempt to help may be worse than no attempt at all.

QUALITIES OF A LEADER

No two leaders are exactly alike. They do not possess the same qualities in equal proportions, nor do they accomplish their ends in the same manner. One thing is certain, however; all great leaders are imbued with certain characteristics and abilities which they utilize to the greatest advantage. Some have turned weaknesses into strengths and, by exercise of will power and dint of hard work, risen far above what normally might have been expected of them.

Every leader will not possess every quality discussed here, but every good leader will have a substantial number of them. Moreover, the less natural ability a leader has, the more important it is for him to cultivate the leadership qualities he needs in order to be effective.

MORAL RESPONSIBILITY

One of the most important of the characteristics of leaders we admire is a high sense of moral responsibility.

Contrast leaders such as George Washington, Abraham Lincoln, and John Paul Jones with men such as Hitler, Mussolini, and Blackbeard, the pirate. Why do we revere the memories of the former group while we despise those of the latter? Obviously, all were effective leaders, but leaders typified by Hitler, Mussolini, and Blackbeard were ruthless, selfish, deceitful, and motivated by self-gain. They brought immeasurable disaster and ruin upon men and social institutions. On the other hand, leaders like Washington, Lincoln, and Jones used their leadership qualities to move men towards a greater sense of responsibility, honor, dignity, and self-respect so that the world might be a better place in which to live.

All truly great leaders shared one common characteristic. They were bound by personal codes of conduct—moral responsibility—which would not permit them to exploit their abilities and positions to the detriment of their fellowmen.

Most of us understand about the written and unwritten laws which guide our actions and define our duties—the "thou shalts" and "thou shalt nots" by which we are required to abide. Those are the rules established by governments and by common usage. If we break the laws or neglect the duties, authorities may bestow suitable punishments on us. There are, however, other laws and other duties which have no legal standing as far as any lawmaking or law enforcing branch of government is concerned. These are moral laws and duties. A man establishes them for himself, basing them on his principles. Depending on the character of the man, they can be extensive and bind him closer than any statutory laws, or they can be completely nonexistent. There is no one who can legally punish him for ignoring them—their only enforcer is a man's own conscience.

In various places throughout this book we quote rules and regulations, at times explaining them in more or less detail. Therefore, we feel we may assume the reader is, by now, familiar with his legal responsibilities. But what about those "nebulous" moral responsibilities? The Navy expects its leaders to adhere to minimum standards of moral responsibility. Articles 0702A and 1210 (the latter quoted in chapter 7) of Navy Regulations state those moral qualities of conduct and performance, not only of its leaders but of all persons in the naval service:

"0702A. Commanders' Duties of Example and Correction.

"All commanding officers and others in authority in the naval service are required to show in themselves a good example of virtue, honor, patriotism, and subordination; to be vigilant in inspecting the conduct of all persons who are placed under their command; to guard against and suppress all dissolute and immoral practices, and to correct according to the laws and regulations of the Navy, all persons who

are guilty of them; and to take all necessary and proper measures, under the laws, regulations, and customs of the naval service, to promote and safeguard the morale, the physical well-being, and the general welfare of the officers and enlisted persons under their command or charge."

The history of effective naval leadership has isolated additional moral principles that have characterized successful leaders from the very beginning, down to our present time.

LOYALTY

Loyalty means a true, faithful, strong (even enthusiastic) devotion to one's country. Ordinarily, this type of loyalty will be assumed and never questioned, but loyalty must also be broadened to include one's superiors and one's subordinates.

Human nature is such that the ordinary person wants to and will extend loyalty to others in his organization. However, in the long run, everyone must earn the right to that loyalty, and part of the price he pays for loyalty to himself is his loyalty to others. Enlisted men are particularly sensitive about loyalty extending to them and are quick to discern and resent its absence.

The degree of loyalty a division officer shows toward his division has a direct bearing on the morale of his men. Most of them have a high sense of duty, and self-respect will not allow them to neglect that duty merely to spite a superior. But, the officer who has not earned the loyalty of his men cannot expect to receive that little extra effort above the call of duty which is so often necessary to accomplish a mission. This brings us to another important quality, devotion to duty.

DEVOTION TO DUTY

Devotion to duty is closely allied to loyalty. In fact, it might be defined as loyalty to the post or position one holds. Occasionally an immature young man endowed with talents which he feels are superior to those required to fill the minor position in which he finds himself, may become resentful because his abilities are not utilized to better advantage. Consequently, his performance falls off.

A more enlightened individual might assume that because the post exists it must be important even though the importance is not readily apparent. Assuming this, the second young man gives a little more of himself to the position than it seems to require. He spends his extra energy and talents learning a new and more important job. Thus, he fulfills his obligation to his organization, inspires his men to greater efforts, and earns the respect of all concerned. There is little doubt as to the choice between these two men to fill the first important opening.

The ambitious young man described above would be considered a satisfying asset in any civilian firm; his employers would keep their eyes on him and perhaps expect great things of him. However, mere ambition is not enough in the military service. An officer or enlisted man in any service is expected to place duty above self. Everyone at all times must do his duty to the best of his ability—not because of the personal gain involved, but because that is the most expeditious and perhaps only way of accomplishing the mission. Each man who refuses to shoulder his share of the load makes it that much heavier for the rest of his unit. Hardships may be increased, lives may be sacrificed needlessly, and the unit might fail in its mission. The well-known parable of the loss of a kingdom through want of a horseshoe nail describes the situation perfectly. The ability to take orders is a quality that should be discussed along with devotion to duty. One so closely follows the other that it is difficult to distinguish between them. Any position is usually covered by standing orders designed to assist the person holding the position in doing the job effectively; an order received immediately becomes a duty of the recipient. Therefore, the most trivial order, even one given in the nature of a reminder—necessary or not—must not be resented. It must be quickly and cheerfully obeyed and its accomplishment reported to the superior who gave it.

Devotion to duty and the ability to take orders are so important that the Navy has no place for the immature person who refuses to grow up, the self-seeker who does his best only when it is advantageous to him to do so, or the resentful, hard-headed, self-important character who cannot take an order.

PROFESSIONAL KNOWLEDGE

All other things equal, the man who thoroughly knows his job is far better qualified to lead than one who does not, but, unfortunately, professional

NAVAL ORIENTATION

knowledge does not burst into full bloom merely because one wishes it so. Indeed, the young officer usually steps aboard ship for the first time wearing a mantle of professional inexperience. Yet, he is placed in the position of a leader, given a job to do, and then seemingly left to his own devices. His rudimentary or theoretical knowledge hardly qualifies him for his position of trust. The job probably appears monumental to him, and the probability of his making a serious error which will expose him to ridicule and censure must be uppermost in his mind. Small wonder if a feeling of panic ensues.

There are, however, people on all sides ready to assist him. The officer he relieves usually will use all possible available time to instruct him in his duties; outline the present program, pointing out what has and has not been done; discuss the inherent difficulties of the job; and briefly describe the abilities and personalities of his men. His senior officers always stand ready to give him a hand. While tolerant of his inexperience, they will insist that he do his duty and master his job as quickly as possible. His petty officers, too, will teach him if he shows the inclination to benefit from their experience. If necessary and to the best of their abilities, they will "carry him" (as the Navy expression goes) as long as he tries to learn. The instructions may be subtle or blunt, depending on the teacher. A few old hands may persist in their offers of aid even when rebuffed, but the majority will promptly lose the desire to help as soon as the officer loses the desire to learn. Therefore, it pays to be willing to listen to advice and suggestions. Even the newest seaman apprentice might be able to make a worthwhile contribution.

SELF CONFIDENCE

As an officer's knowledge grows, his self-confidence, a most important quality of leadership, should grow apace, for even a vast store of knowledge is meaningless without the confidence and ability to use it. Never, however, should a leader become so swelled with the importance of his "superior" education, "vast" professional knowledge, or "noteworthy" accomplishments that he displays arrogance. It must be remembered that the ordinary enlisted man is not overly impressed with the number of academic degrees an officer holds; he is strictly interested in an officer's ability. He can understand self-confidence in an officer who has proven himself, but arrogance in a new, untried ensign he will regard as sheer buffoonery. He will meet it with ridicule, a weapon which is a most effective deflater of the ego. The officer's accompanying loss of respect will greatly diminish his control over his men, hence, his usefulness.

INITIATIVE AND INGENUITY

When confronted with the multitude of Navy rules, regulations, operating instructions, procedures, and the policies of the senior officers, a young ensign may assume that there is little room for personal initiative and ingenuity in the Navy today. Actually, the reverse is true. With new ships, new equipment, new weapons systems, and new concepts in naval warfare, the demand for officers with these qualities is greater today than it ever has been in the history of our Navy. If these new things are to be utilized to their greatest advantage, we must have officers with the imagination to realize their potentialities and the skill and daring to develop their uses to their full extent.

While an officer must observe the limitations placed on his actions by rules and regulations, there is scarcely a day which in passing does not present to him an opportunity to exercise his initiative and ingenuity. At first, these opportunities may entail only small problems requiring but little of either ingenuity or initiative, but if he doesn't take advantage of the small chances offered, he will never gain enough self-confidence to tackle the bigger problems.

COURAGE

Courage, one of the most necessary characteristics of a leader, is that quality of the mind which enables one to meet danger and difficulties with firmness. It is that quality which enables us to overcome the fear of failure, injury, or death, which normally precedes any difficult or dangerous act we may attempt to perform. Further, courage is that quality which enables us to acknowledge our responsibilities and to carry them out regardless of consequences.

When speaking of courage, there is a tendency to divide it into two forms, moral and physical. However, psychiatrists do not readily admit a difference. Be that as it may, it is of little significance to our discussion. What is more significant is that courage is a quality of the

mind and, as such, may be developed. Like a muscle, it may be strengthened with use, and the more it is exercised the stronger it grows. Each time a person meets and tackles an obstacle, whether it be a particularly tough assignment or examination in school or a hard charging fullback on the football field, he strengthens his courage a bit more. While bringing an attempt to a successful conclusion might provide a great deal of satisfaction to the person, success itself is not essential to the development of the person's courage. In fact, a person who frequently is frustrated in his attempts and goes back to try again and again will probably develop his courage faster than one whose every endeavor is attended by success.

It may be difficult to convince a young man contemplating going into battle for the first time that anything in his background has prepared him to overcome the fear he will be certain to experience. It is normal for him to doubt his ability to conduct himself with honor. However, military services from time immemorial have recognized this fact and have conditioned and trained their warriors under the most realistic conditions possible.

Our Navy is no exception. Before going into battle, our men are well acquainted with the smell of gunpowder, and they have been trained and drilled at their battle stations until their actions are almost automatic and second nature. Because of this training, the fast action involved, his sense of duty, the inspiration of his cause and his leaders, and the close proximity of others, even a timid man can muster enough courage to endure without faltering the comparatively short, though terrible, periods of battle.

A courageous man is not necessarily fearless, but he has learned to conquer his fear and concentrate on the mechanics of fighting.

ABILITY TO ORGANIZE AND MAKE DECISIONS

Essentially a junior officer's primary job is to coordinate the efforts of his men to achieve a common purpose. The normal day-to-day activity of the maintenance program of the peacetime Navy does not readily reflect this. However, an overall view of the maintenance and training programs together shows how each minor accomplishment fits into the whole. An officer must be able to organize his men so that their labors and training will be utilized to the best possible advantage.

In order to organize effectively, an officer must have intimate knowledge of the skills and physical capabilities of his men. Without that knowledge he must rely on a senior petty officer to do his job for him. We must emphasize here that it is entirely proper and desirable for him to rely on his petty officers to the extent of their abilities. However, an officer should never allow himself to be reduced to the position of an old-time midshipman—a messenger running between the wardroom and the forecastle.

While a young ensign cannot help but profit from careful observation of the methods of skilled organizers, he eventually must attempt some organization of his own. In order to do so, he must learn to make decisions. Without the power of decision he is useless as a leader. When his men come to him with a problem, they expect a clear-cut decision. Complicated questions or those clearly beyond his authority to decide, he will wish to discuss with his immediate superior, but lesser ones he should dispose of himself. He should never allow dread of making a mistake which might cause him to appear ridiculous to deter him from attempting to solve a problem. To be sure, he will make mistakes occasionally, but an honest mistake seldom invokes scorn or censure if all the factors involved in the problem were duly considered. From mistakes comes experience and from experience comes wisdom.

PERSONAL EXAMPLE

Every young man has a strong personal need for examples to live by, at least until he has formulated his own principles. He expresses this need by following the example of someone he admires—father, brother, teacher, officer, a great leader of history, or even someone with antisocial tendencies or habits. He, in some way, will attempt to attach himself to and be like that person. As long as he is not disillusioned and as long as he feels the need, he will continue to emulate his hero. A naval officer may not be the inspiration to his men in the sense implied above, but no one can deny the value of his setting a good personal example in his daily life. He cannot live by the rule of "don't do as I do—do as I say" without the risk of his men regarding him with suspicion or distaste. And, once that suspicion or distaste is established, his use as a leader is greatly diminished. On the other hand,

if his conduct is outstanding, he could very well inspire those about him to pattern their own actions on his to the good of the whole Navy.

When we speak of conduct, we mean conduct ashore as well as aboard ship. A man in uniform is consciously or unconsciously watched by everyone around him. In the minds of his observers, his actions are interpreted to be typical of everyone who wears a similar uniform. It is imperative, therefore, that a man do nothing to dishonor his uniform, lest, in so doing, he dishonor the whole Navy.

An officer cannot expect his men to adhere to the regulations laid down if he, himself, ignores them. Depending on the extent of his digressions, he may, for all practical purposes, completely lose control of his men. This may not be readily apparent to him at first, for a petty officer under him may keep them in line. However, sooner or later he will recognize the fact that his control is gone. By that time it may be too late. In any event, to regain the respect of his men and reestablish his control over them will require extraordinary effort.

"Rank has its privileges," but those privileges are not extended to cover deviations from accepted conduct. Rather, when it comes to conduct, it is "rank has its responsibilities" that must be stressed.

A wise young man aspiring to be a naval officer will strive to live so that his daily conduct will be above reproach. And, it is imperative that he start now, not when he reports for duty.

It might be helpful at this point to enumerate a number of facets considered by former Chief of Naval Operations George W. Anderson, Jr. to be involved in the makeup of truly outstanding officers. All have a direct relationship to effective leadership; many are considered when officers are evaluated for reports of fitness:

Achievements. Outstanding officers produce results; many are industrious. The measure is the effectiveness of the work.

Ability to make decisions. This is closely allied to achievement. An officer must learn to evaluate his information, analyze the problem, and then integrate the two into a sound and incisive decision.

Breadth of vision. An effective officer brings to his profession a knowledge of all the political, social, scientific, economic, and military factors that impinge upon the Navy.

Personal appearance. It is unbelievable how often this completely self-evident requirement is ignored in essential detail by otherwise promising officers.

Military bearing. A mature officer is a military man afloat or ashore, 24 hours a day, every day.

Mental alertness. Continual attention to detail coupled with an awareness of the big picture.

Ability to express himself. The greatest thinker or the smartest man finds himself bypassed if he is unable to communicate his ideas and decisions orally or in writing.

Contacts with people outside the service. An officer who allows himself and his interests to become completely ingrown into his profession will find that he has exhausted his potential growth.

Being a good shipmate. An officer must not lose sight of his relationship with others in the Navy. No one can go it alone; he can be effective only through others.

Imagination. A fitness report that states "This officer performs all his ASSIGNED duties in an excellent manner" could easily describe an officer who has stopped growing. Imagination and its companion virtue, initiative, are vital.

Knowledge of the job. This is easily described but difficult to achieve. It implies complete mastery of the job plus a detailed knowledge of all its responsibilities, including those of subordinates.

Manner of performance. There are four general approaches to getting a job done. An officer can do it himself, drive others to do it, inspire others to do it, or combine the three in the best manner. The outstanding leader knows himself, his job, his men, and the immediate situation; and he knows how to combine these approaches to solve best the problem at hand.

Social grace. Knowing which fork to use is necessary, but the basic requirement is to be sincerely interested in the people one meets.

Sense of humor. This is really a matter of keeping everything in the proper perspective, of being able to distinguish between the important and the trivial.

Personal behavior. Suffice it to say that no Navy officer should be in a position of responsibility if his entire behavior pattern does not reflect absolute integrity and honor.

The distaff member. The officer whose lady also reflects most of the qualities listed is fortunate indeed. Her contribution to his

professional development and to the Navy is considerable. This contribution must be considered in recommending an officer for any position of responsibility.

CONCLUSION

In recent years, the Secretary of the Navy, gravely concerned with personnel shortages aggravated by losses of personnel on unauthorized absence and confined for disciplinary action, issued General Order No. 21. The order calls for more effective leadership based on personal example, good management, and moral responsibility.

All curricula for officer schools are evaluated for sound leadership content, leadership schools for petty officers have been set up, and much information on leadership is collected, published, and distributed.

In every group there are a few men whose sole interest in life is to complete their time and leave the Navy. Most of them merely are disinterested, but from their ranks many troublemakers arise. Any single division may have only one or two of them who, alone, present no great problem. In the aggregate, however, they are a tremendous problem. Properly motivated and instilled with a little moral responsibility they can be a tremendous asset. All are important, and we must not lose their services through failure to redirect their interests and energies.

The rebellious ones must be made to understand that it is not only in the Navy but everywhere they go that they will be required to abide by rules and regulations. It must be pointed out to them that rules and regulations serve as guides by which we live and they, if followed by all, make life more pleasant and easy for all of us. They must be taught that the more they discipline themselves, the less they will be disciplined by others. They must be shown their importance to the team and that their shipmates must be able to depend on them day by day, as well as in battle. They, along with the disinterested men, also must be made to realize that increasing their knowledge, advancing in rating, and assuming more responsibilities are no longer matters of personal preference but duties. In the present uneasy world situation, the Navy, in fact the entire Nation, no longer can afford to carry disinterested or hostile observers.

The responsibility of maintaining an effective Navy is up to the leaders. The responsibility is up to you!

SUGGESTED READING:

The U. S. Navy Manual for Leadership Support, NavPers 15934-A.
The Armed Forces Officer, NavPers 15923-A
Principles and Problems of Naval Leadership, NavPers 15924A

CODE OF CONDUCT
For the U. S. Armed Forces

Article I

I am an American fighting man. I serve in the forces which guard my country and our way of life. I am prepared to give my life in their defense.

Article II

I will never surrender of my own free will. If in command I will never surrender my men while they still have the means to resist.

Article III

If I am captured I will continue to resist by all means available. I will make every effort to escape and aid others to escape. I will accept neither parole nor special favors from the enemy.

Article IV

If I become a prisoner of war, I will keep faith with my fellow prisoners. I will give no information nor take part in any action which might be harmful to my comrades. If I am senior, I will take command. If not, I will obey the lawful orders of those appointed over me and will back them up in every way.

Article V

When questioned, should I become a prisoner of war, I am bound to give only name, rank, service number and date of birth. I will evade answering further questions to the utmost of my ability. I will make no oral or written statements disloyal to my country and its allies or harmful to their cause.

Article VI

I will never forget that I am an American fighting man, responsible for my actions, and dedicated to the principles which made my country free. I will trust in my God and in the United States of America.

Key Leadership Factors and Major Leadership Traits

The following list of Key Leadership Factors and Major Leadership Traits has been prepared by the Department of Behavioral Science. The various items on this list will be elaborated upon from time to time throughout this course.

KEY LEADERSHIP FACTORS

AN EFFECTIVE LEADER:

SETS THE EXAMPLE

KNOWS HIS JOB

HAS LEARNED TO BE A GOOD FOLLOWER

KNOWS HIMSELF AND SEEKS SELF-IMPROVEMENT

ENCOURAGES SUBORDINATES TO OFFER SUGGESTIONS AND/OR CONSTRUCTIVE CRITICISM

IS CONSISTENT, BUT NOT INFLEXIBLE

ESTABLISHES OBJECTIVES AND PLANS FOR THEIR ACCOMPLISHMENT

TREATS EVERY PERSON AS AN INDIVIDUAL, NOT AS A NUMBER

SEEKS RESPONSIBILITY AND DEVELOPS A SENSE OF RESPONSIBILITY AMONG HIS SUBORDINATES

KEEPS HIS MEN INFORMED

TRAINS HIS MEN AS A TEAM

MAKES SURE THE TASK IS UNDERSTOOD, SUPERVISED, AND ACCOMPLISHED

EMPLOYS HIS UNIT IN ACCORDANCE WITH ITS CAPABILITIES

TAKES RESPONSIBILITY FOR HIS ACTIONS, REGARDLESS OF THEIR OUTCOME

UPON RE-ASSIGNMENT, CAN ANSWER AFFIRMATIVELY: "ARE THE MEN I HAVE JUST LEFT, BETTER MEN, FOR MY HAVING SERVED WITH THEM?"

MAJOR LEADERSHIP TRAITS

INTEGRITY

ABILITY TO WRITE WELL	ENTHUSIASM
ABILITY TO SPEAK EFFECTIVELY	INITIATIVE
COOPERATION	JUDGMENT
COURAGE (MORAL & PHYSICAL)	LOYALTY
CREATIVITY	SELF-DISCIPLINE
DECISIVENESS	SENSE OF HUMOR
DEPENDABILITY	TACT
ENDURANCE	UNSELFISHNESS

It must be remembered that:

1) Mere knowledge of the Key Leadership Factors and the Major Leadership Traits is no guarantee of effective leadership performance.

2) Knowledge of and application of the Key Leadership Factors (KLF) are two entirely separate and distinct concepts.

This is the end of Part One, Segment II.

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ONE

OVERVIEW OF LEADERSHIP

Segment II

Standards of Leadership in the Naval Service

Progress Check

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

STANDARDS OF LEADERSHIP IN THE NAVAL SERVICE

PROGRESS CHECK

Question 1.

LTCOL Fuller commanded an artillery battalion in the 1st Marine Division. He expected his battery officers to maintain the combat readiness of their units by frequent practice firing, weekly inspections of equipment and weapons, and by conducting additional instruction sessions on new artillery techniques. Furthermore, he emphasized that successful leadership is based on personal example and moral responsibility.

Select the statement which is an objective LTCOL Fuller established that is compatible with the objective of GO 21.

a. Emphasis on successful leadership regardless of the demands made on subordinates

b. Frequent practice, weekly inspections and additional instruction on new artillery techniques

c. Developing successful leaders by detailed planning and delegating authority to subordinates

d. Both b. and c. above

Question 2.

LT Collins conducted a one-week naval flight officer's training course in land-sea survival. The curriculum allotted only enough time for 30 hours of classroom instruction and 15 hours of field instruction. Nevertheless, LT Collins usually arrived late for classes each morning. He also permitted the men to take a leisurely lunch hour. As a result, much of the field instruction was covered in an abbreviated manner.

From the following choices, identify the area of performance of duty (as directed by GO 21) disregarded by LT Collins' actions.

a. Establishment of standards for personnel development

b. Use of all proper means to promote the morale and well-being of subordinates

c. Integration of principles and practices of leadership into everyday life

d. Both a. and c. above

Question 3.

Correctly identify the standards of moral responsibility for the leader.

1) To take all necessary and proper measures under laws, regulations and customs of Naval service; to promote and safeguard morale, physical well-being, and general welfare of all personnel under his command

2) To be a good example of virtue, honor, patriotism, and subordination

3) To maintain discipline and authority through punishment

4) To correct by any and all means he chooses, all subordinates guilty of dissolute or immoral practices

5) To be vigilant in inspecting the conduct of all persons under his command

a. 1, 3 and 5

b. 1, 2 and 5

c. 1, 4 and 5

d. 1, 2 and 4

Question 4.

LT Flock was the MPA aboard the USS Boston. Whenever repair or maintenance was required, LT Flock usually ordered his senior personnel to complete the work. He reasoned that the more leadership experience his senior subordinates had, the better fit they would be to assume future responsibility. LT Flock, however, was never available to supervise the work he assigned. Again, he assumed that the more experience his men had inspecting their own work, the more skillful they would eventually become.

Select the statement which correctly describes how LT Flock disregarded his responsibility to set a good example of behavior and performance.

a. Lt Flock failed to set a good example by being too concerned with the training of his men, rather than with the quality of the work.

b. LT Flock failed to set a good example when he did not demonstrate a willingness to participate with, or even remotely supervise, his men.

c. LT flock failed to set a good example because he did not communicate to his men his faith in their ability to succeed.

Question 5.

Select from the following list those standards of personal example of behavior and performance as set forth in NavRegs Article 1210 (referenced by GO 21):

1) Zeal
2) Attention to duty
3) Sobriety
4) Rigidity of attitude
5) Aloofness
6) Subordination

a. 1, 2, 3, and 6
b. 1, 3, 5, and 6
c. 2, 3, 5, and 6
d. 3, 4, 5, and 6

Question 6.

NavRegs Article 0710, headed: "Training and Education," deals directly with the GO 21 requirement for attention to established standards for personnel development.

Select the paragraph which best typifies such standards.

a. The leader should emphasize to all the men under his command that they need further education. He should also require that all junior officers with less than four years of commissioned service keep journals and attend classes dealing with operational theory and traditions.

b. The leader should increase the specialized and professional knowledge of personnel under his command by frequent drills, classes and instruction. NavRegs, Art 0710, also directs senior officers to act as advisors to the junior officers.

c. Rather than duplicate effort in his own command with drills, classes and instructions, the leader should insure that all his personnel are assigned to fleet and service schools for necessary training.

d. All of the above

Question 7.

Marine Captain Turner supervised a Finance section at Parris Island. CAPT Turner encouraged his men to enroll in extension courses and to request further service schooling. He also realized that his men needed regular exercise because they worked behind desks all day. He instituted a physical training program and organized athletic competition. CAPT Turner encouraged his men to seek his personal advice and counseled those individuals who did.

Select CAPT Turner's action which fulfills the requirements for integration of principles and practices of leadership into the everyday routine.

a. CAPT Turner encouraged his men to seek additional education.

b. CAPT Turner instituted a physical training program.

c. CAPT Turner counseled those individuals who sought his personal advice.

d. All of the above

Question 8.

LT Roberts was in charge of the ship's engineroom. A week prior to a series of drills, all section leaders were fully briefed on the upcoming drills and were instructed to prepare their men and equipment accordingly. Although LT Roberts was aware that most of his engineroom crew was rather young and inexperienced and that certain equipment was coming due for maintenance, he was sure that his crew would handle the drills without disrupting the normal routine.

During the drills, however, LT Roberts' crew did not function well, and on several occasions the bridge had to make repeated calls for an explanation of the difficulties in the engineroom.

Select the statement which identifies LT Roberts' disregard for effective organization and administration.

a. LT Roberts did not encourage his men enough by using rewards to get them to perform well during drills.

b. LT Roberts knew that the engineroom was in sufficient readiness for the drills.

c. LT Roberts did not fully understand the extent of proficiency required for the drills.

d. LT Roberts did not exert every effort to maintain his engineroom in a state of high readiness.

Question 9.

Select the paragraph which specifies standards pertinent only to effective organization and administration.

a. The Commanding Officer shall use all proper means to promote the morale of his men. He shall endeavor to maintain a satisfactory state of health and physical fitness so that they will be able to perform their duties in an effective manner.

b. The Commanding Officer shall exert every effort to maintain his command in a state of maximum effectiveness for war service. He shall report to his senior any deficiency which appreciably lessens the effectiveness of his command.

c. The Commanding Officer shall strive to increase the specialized and professional knowledge of personnel under his command. He shall ensure that all deserving individuals receive appropriate recognition for their performance.

d. The Commanding Officer shall take all necessary and proper measures in compliance with the laws, regulations, and customs of the Naval service to promote and safeguard the morale, physical well-being, and general welfare of all personnel under his command.

Question 10.

According to General Order 21, all persons, in responsible positions shall require that their subordinates discharge their duties in accordance with traditional concepts of Navy and Marine Corps standards by paying particular attention to which five of the following?

1) Moral responsibility
2) Management functions
3) Personal example of behavior and performance
4) Integration of principles and practices of leadership into everyday life.
5) Technical training of enlisted personnel
6) Established standards for personnel development
7) Encouragement of educational assistance
8) Effective organization and administration

a. 1, 3, 6, 7 and 8
b. 1, 3, 4, 6 and 8
c. 2, 4, 5, 6 and 8
d. 1, 4, 5, 6 and 8

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One/II/RPF INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PROGRESS CHECK ANSWER AND REMEDIATION FORM

PART One SEGMENT II

REMEDIATION TEXT Discussion Booklet - Vol - I

ITEM	ANSWER	REMEDIATION REFERENCE
1	b	"General Order No. 21," pages 5-6
2	d	"Leadership," pages 17-18
3	b	"Leadership," page 14
4	b	"Indicia of Personal Leadership," page 12
5	a	"General Order No. 21," page 6
6	b	"General Order No. 21," pages 6-7
7	d	"General Order No. 21," page 7
8	d	"General Order No. 21," pages 6-8; "Leadership," page 17
9	b	"General Order No. 21," page 8
10	b	"General Order No. 21," page 5
11		
12		
13		
14		
15		

PROGRAM FRAME ANSWERS

PART ONE

Segments I & II

PROGRAM FRAME ANSWERS

PART One SEGMENT I TYPE Syndactic Text PAGE 1 OF 2 PAGES

FRAME OR QUESTION NUMBER	CORRECT ANSWER
PROGRAMED SEQUENCE 1	
1	a
2	d
3	b
4	c
5	c
6	d
7	b
8	a-2,b-1 c-3,d-3
9	a
10	c
11	d
12	c
13	a-2,b-1 c-1,d-2
14	a
15	a
16	a
17	a-2,b-2 c-1
18	a-2,b-1 c-2
19	b
20	a
21	c

FRAME OR QUESTION NUMBER	CORRECT ANSWER
22	c
23	b
24	b
25	c
26	b
27	c
28	c
29	d
30	b
31	a
32	c
33	d
34	b
35	b
36	a
37	a
38	a
39	b
40	b
41	b
42	b
43	b

FRAME OR QUESTION NUMBER	CORRECT ANSWER
44	d
45	a-2,b-1 c-5,d-4
46	a
47	c
48	c
49	b
50	a-2,b-2 c-1
51	d
52	a
PROGRAMED SEQUENCE 2	
1	d
2	d
3	e
4	c,e
5	c
6	a
7	c
8	b
9	c
10	b
11	a
12	d

FRAME OR QUESTION NUMBER	CORRECT ANSWER
13	c
14	a
15	a,c d,f
16	a-1,b-2 c-1
17	a-2,3 b-1,4,5
18	c
19	c
20	b
21	a
22	c
23	a
24	a,d
25	a-1,3,4 b-2,5
26	a
27	b
28	c
29	a
30	b,c,d
31	a
32	b
33	c
34	d

PROGRAM FRAME ANSWERS

PART One SEGMENT I TYPE Syndactic Text PAGE 2 OF 2 PAGES

FRAME OR QUESTION NUMBER	CORRECT ANSWER
35	a
36	c
37	a-3,b-1 c-4
38	c
39	c
40	a-2,4 b-1,5 c-3,6
41	b
42	c
PROGRAMED SEQUENCE 3	
1	a
2	c
3	b
4	c
5	a
6	d
7	d
8	a
9	e
10	b
11	a-1 b-2,3,4
12	b

FRAME OR QUESTION NUMBER	CORRECT ANSWER
13	a-2,b-1 c-3
14	a
15	c
16	a
17	b
18	b
19	c
20	b
21	a
22	c
23	c
24	a
25	c
26	b
27	a
28	e
29	b
30	a-2,b-5 c-3,d-4, e-1
31	b
32	a
33	a